

The World CSD FACT BOOK

2019

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INTRODUCTION

The World Forum of CSDs (WFC) is composed of the five regional Central securities Depositories (CSD) associations, i.e., Asia- Pacific CSD Group (ACG), Americas' Central Securities Depositories Association (ACSDA), Association of Eurasian Central Securities Depositories (AECSD), Africa & Middle East Depositories Association (AMEDA) and European Central Securities Depositories Association (ECSDA). The total number of member CSDs of WFC is 135.

The WFC Board initiated the World CSD Fact Book project, with member representation from the five Regional Associations of CSDs that comprise the WFC. A joint report providing a consolidated data on the CSD industry worldwide was published in the year 2019. The introduction of the World CSD Fact Book led to greater data gathering efficiency, a holistic view of all CSDs and a time - saver for all.

The World CSD Fact Book contains data on the following:

- general company information [i.e., ownership, banking license and number of employees],
- the structure of the system it operates [i.e., account structure, form of custody, type of Participants and eligible issues by instrument type],
- its activity and services [i.e., value of deposit by instrument type, number of Participants, number of accounts, number & value of transactions and corporate action events] and
- other important details such as links with other CSDs, and developments/initiatives undertaken by CSDs.

The second version of WFC Fact book will lead to one step forward in enhancing the consolidation of data, more accuracy and better understanding of the terminology used across the world.

OVERVIEW OF THE WORLD'S CSDs

1. PARTICIPATION IN THE FACT BOOK

The Second Annual Survey to collect information for the World CSD Fact Book was sent to all WFC members through the respective regional CSD associations. There are 149 WFC Members (unique) of which 135 are CSDs, as some associations also allow for the participation of non-CSD members.

Of the 135 Member CSDs, 100 responded to the World CSD Fact Book survey. For the year 2019, the Regional Association participation in this initial World CSD Fact Book Survey was as follows:

| Regional Association | Number of Member CSDs | CSDs who have responded (*) |
|----------------------|-----------------------|-----------------------------|
| ACG | 33 | 25 |
| ACSDA | 28 | 13 |
| AECSD | 15 | 15 |
| AMEDA | 30 | 21 |
| ECSDA | 40 | 39 |

* 11 CSDs are members of more than one regional association.

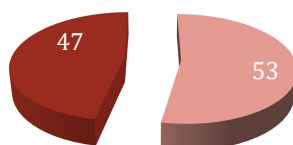
2. ORGANISATION

2.1. OWNERSHIP MODELS

2.1.1. CSDs have a big variety of ownership models. We decided to assess the model based on type of the shareholder they have and on whether the shareholder is also a CSD participant or not. We have identified the following eventual categories of shareholders: (1) Federal / National Government, (2) Other Government Bodies, (3) Central Bank, (4) Trading Venues, (5) Clearing Venue i.e., CCP, (6) Banks, (7) Brokers, (8) Insurance companies and (9) Private/Other Institutions.

2.1.2. We also asked whether shares of the CSD or its Holding Company are traded or not, and whether the CSD is part of a group.

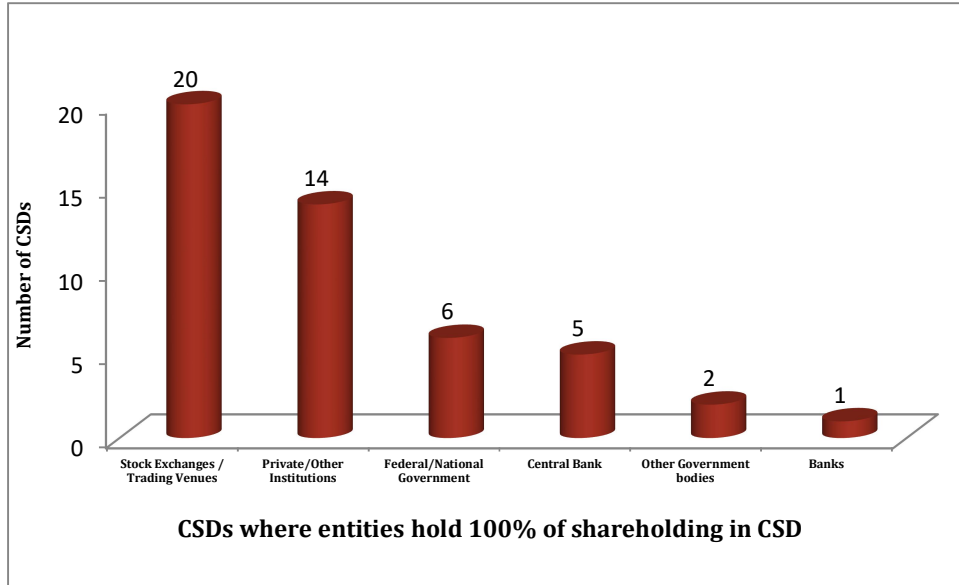
2.1.3. Of 100 CSDs who have responded to the survey, 97 have provided the details of the shareholding pattern. From the information provided, it is observed that approximately 53% of the CSDs are owned partially or entirely by their users (i.e., Participant of CSD). These users hold in excess of 50% of the shareholdings in an average CSD.



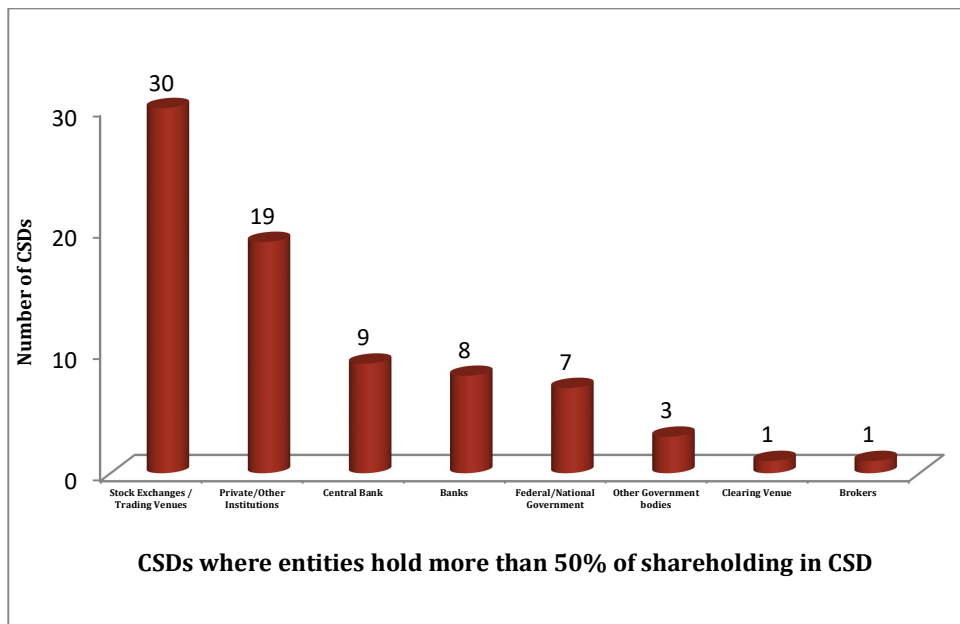
■ Participant of CSD ■ Non-Participant of CSD

2.1.4. Of 100 CSDs who have responded to the survey, 97 have provided the shareholding pattern. More than by any other category of owners, CSDs are partially or entirely owned by a Trading Venue. Below this category follows other types of companies, Central and Commercial Banks.

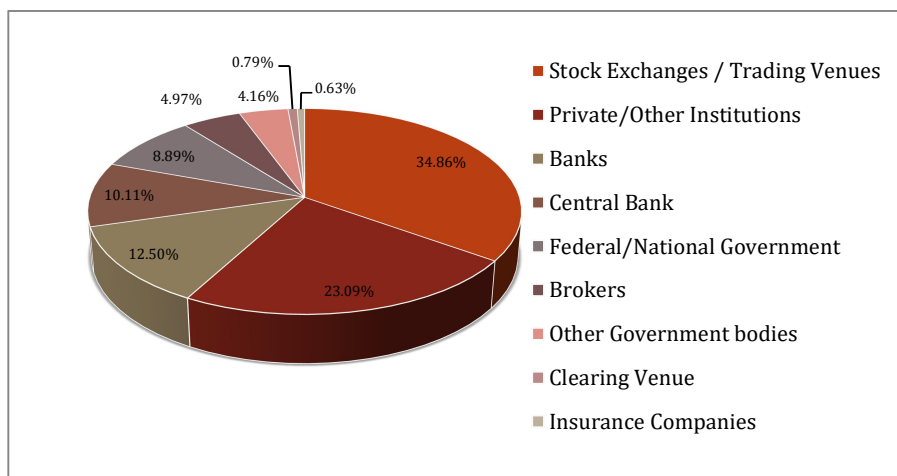
2.1.5. Entities holding 100% shareholding in CSDs



2.1.6. CSDs where entities hold more than 50% of shares in a CSD:



2.1.7. The split of ownership of 97 CSDs that have responded to the survey is provided in the following chart. From the chart, it can be seen that Trading Venues are the entities with the largest ownership in CSDs. Apart from the Trading Venues, Banks and Central Banks are the biggest shareholders.



2.1.8. There are 23 CSDs whose shares or shares of its holding companies are publicly traded.

2.1.9. There are 33 CSDs owned or controlled by Stock Exchange, 16 CSDs owned or controlled by a Holding Company that also owns other FMIs and 9 CSDs owned or controlled by Central Bank.

2.2. EMPLOYMENT

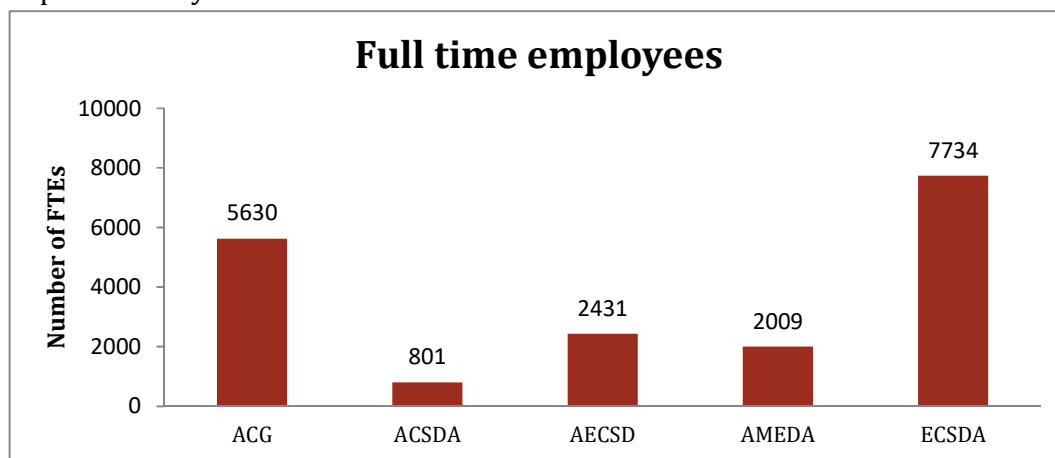
2.2.1. Information on the full-time employees employed in CSD operations are collected from CSDs. Of 100 CSDs who have responded to the survey, 4 CSDs have not provided details.

2.2.2. Approximately 62% (i.e., 62 CSDs) of the CSDs who have responded to the survey have less than 100 full-time employees.

2.2.3. Excluding the three CSDs, the average CSD has slightly more than 100 employees. This illustrates that the CSD business, unlike other capital market businesses, is more IT-intensive than labor-intensive. The range of the figures is broad, since the smallest CSDs in some cases are run by fewer than 10 full-time employees.

2.2.4. Total full-time employees collectively employed by these CSDs are 15,557 as of December 31, 2019. From that total, Euroclear Bank has 2,900 employees, China Securities Depository and Clearing Corporation Limited has 1,200 employees and Clearstream Banking SA has 1,069 employees which comprise more than 30% of the total full-time employees employed by all 96 CSDs that have provided the data.

2.2.5. It is important to note that the employee data reflects various corporate structures and arrangements, and in cases where a CSD is not a separate entity (e.g., when it is a department of the Exchange or part of an integrated corporate group with shared services among the different businesses), the reported figures show the actual number of full-time employees dedicated to the CSD activity rather than the actual number of employees of the corporate entity.



3. LINKS WITH OTHER CSDs

3.1. For the purposes of the Fact Book, we define a "CSD link" as an arrangement between the CSDs which allows a CSD to provide its Participants access to securities maintained in another CSD, without requiring them to have a direct relationship with the other CSDs, or with a participant of the other CSDs. CSD links are an important means to facilitate cross-border securities transactions in a secure infrastructure environment and to contribute to facilitating cross-border investments.

3.2. Information with respect to links with other CSDs is collected with a bifurcation of direct and indirect links. Direct links whereby the CSD is a direct participant in another CSD. Indirect links are where CSDs connected to other CSDs via a sub-custodian and/or by relayed links via an intermediating CSD.

3.3. Information on whether the link is inbound or outbound or both are also collected along with the purpose of links. Inbound links are those links where clients of the other CSD can access the securities maintained in the CSD. Outbound links are those links where clients of one CSD can access the securities maintained in the other CSD.

3.4. The prevailing model is to establish links with other CSDs via direct links. Most of the CSDs that have links with other CSDs have established direct links instead of indirect links using an intermediary with the other CSDs. There is only 1 CSD who have only indirect links.

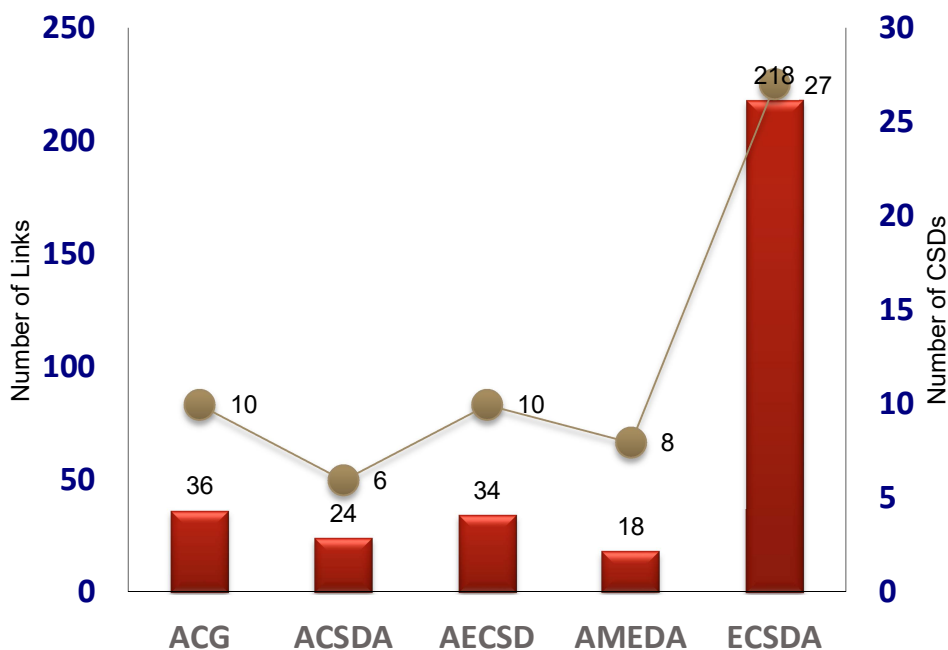
3.5. Of 100 CSDs, 41 CSDs mentioned that they do not have any links with other CSDs and 3 CSDs have not provided the data. The remaining 56 CSDs that have provided the data have either direct or indirect links with other CSDs. Of these, 36 CSDs have only direct links, 15 CSDs have both direct and indirect links and 1 CSD has only indirect links. 4 CSDs have mentioned that they have links with other CSDs, but not provided the details of direct and indirect links.

3.6. In addition to the settlement of securities, these links are also used for the settlement of other financial instruments. Approximately 50% of CSD's links are used for both delivery-versus-payment (DVP) and free-of-payment (FOP) settlement.

3.7. CSDs have established a total of 300 links (inbound/outbound or both) with other CSDs. On an average of 3 links are maintained by each CSD. [excluding the top three CSDs in terms of links i.e., SIX SIS Ltd (54 links), Euroclear France (26 links), Monte Titoli S. P. A. (21 links)].

3.8. Member CSDs of ECSDA have most of the links with more than 218 direct & indirect links. Of 39 member CSDs of ECSDA, 31 CSDs have links with other CSDs. This comprised of 72% of total links across all the CSDs. This includes the top three CSDs in terms of links i.e., SIX SIS Ltd, Euroclear France, Monte Titoli S. P. A.

3.9. The number of CSDs that have links with other CSDs and the number of total links these CSDs have established are shown in the following chart.



4. SYSTEM STRUCTURE

4.1. ACCOUNT STRUCTURE

4.1.1. Across the different countries, there are currently many different legal, regulatory and operational requirements that determine the securities account structure used by CSD Participants and how CSD Participants can hold securities on behalf of investors at a CSD. These requirements have differing impacts on asset protection, asset servicing and operational costs and facilities for end investors and intermediaries. The various types of account structure models used by CSDs are as follows:

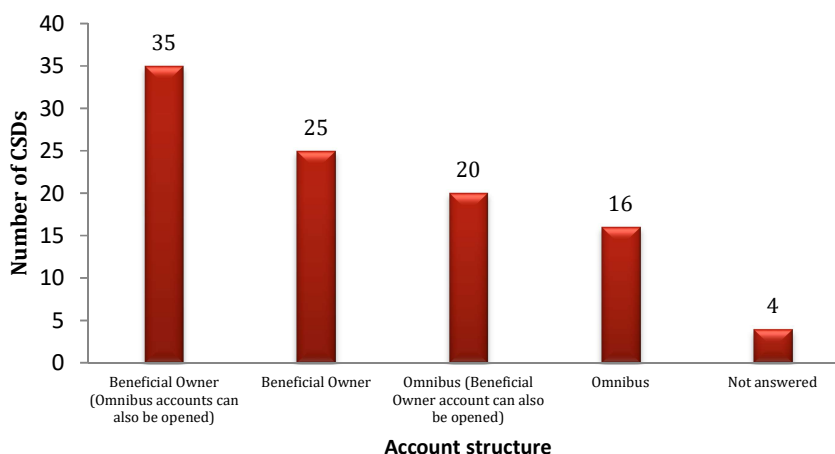
- Beneficial Owner
- Beneficial Owner (Omnibus Accounts can also be opened)
- Omnibus
- Omnibus (Beneficial Owner Account can also be opened)
- Both Beneficial Owner and Omnibus (Hybrid)

Information on the principal account structure adopted by CSD's was obtained during the survey together with the number of accounts.

4.1.2. Beneficial Owner account structure as the principal account structure is used by approximately 60% of CSDs and is the most common account structure followed by the CSDs (60 CSDs). Although the most common account structure is Beneficial Owner, of 60 CSDs, 35 CSDs also allow the opening of Omnibus accounts.

4.1.3. 36 CSDs (approximately 36%) have Omnibus account structures as the principal account structure. Of these, 20 CSDs also offer use of Beneficial Owner accounts.

4.1.4. From the information received from the survey performed for 2019, it is observed that Beneficial Owner account and Hybrid (with the majority of either Omnibus or Beneficial Owner/Segregated Accounts) structures are most widely used.



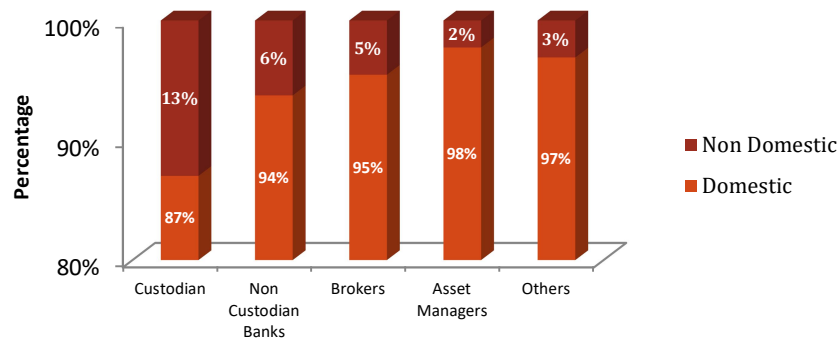
4.2. PARTICIPANTS

4.2.1. For the purposes of the Fact Book, we define CSD Participants as the financial market intermediaries which interface with the CSD on behalf of their own behalf or on behalf of their underlying clients. Information on the types of Participants (i.e., Custodians, Non-custodian Banks, Brokers, Asset Managers and Others) are collected together with the number of Participants with segregation of Participant into Domestic and Non-domestic classifications.

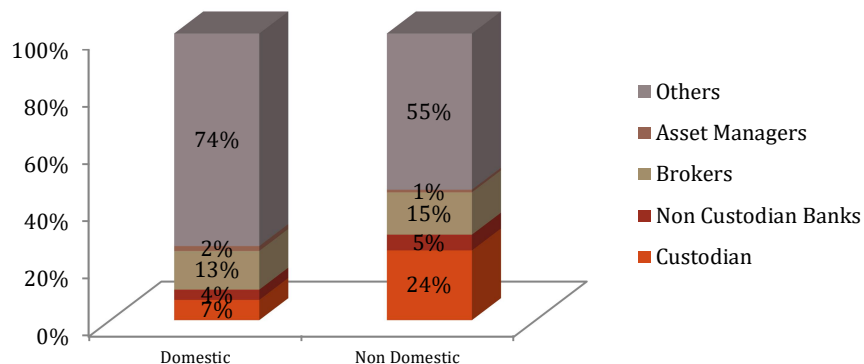
4.2.2. The majority of CSDs have Custodians, Brokers and other types of Participants.

4.2.3. Excluding the 3 CSDs, the average number of Participants in each CSD is 300. China Central Depository & Clearing Co., Ltd CSDs has 24,397 Participants, Hong Kong Securities Clearing Company Limited CSDs has 26,578 Participants, B3 - Central Securities Depository (former BM&F Bovespa and CETIP) has 15,088 Participants.

4.2.4. Approximately 50% of CSDs have Non-domestic Participants. The percentage of Domestic and Non-domestic Participants in each Participant category is provided in the following chart:



4.2.5. The percentage of the various types of Domestic and Non-domestic Participants are provided in the following chart:

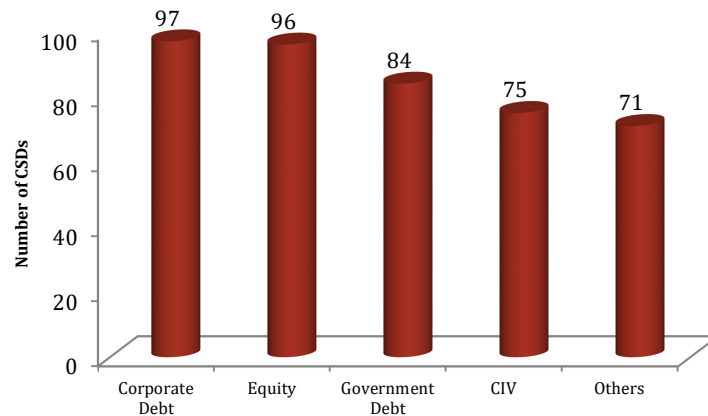


4.2.6. Others are the largest category for both Domestic Participants and Non-domestic Participants.

4.3. FINANCIAL INSTRUMENTS

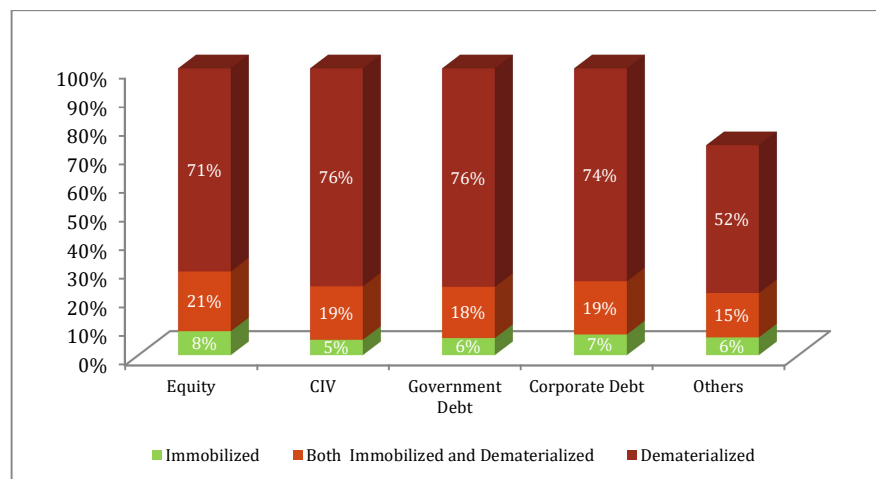
4.3.1. CSDs accept various types of financial instruments for deposit and/or settlement. These financial instruments are held in CSDs either in dematerialized or immobilized form. Financial instruments are categorized under Equities, Collective Investment Vehicles (Funds), Government Debt, Corporate Debt and Other types of instruments.

4.3.2. Number of CSDs where these financial instruments are accepted for deposit and/or settlement are shown in the following chart:



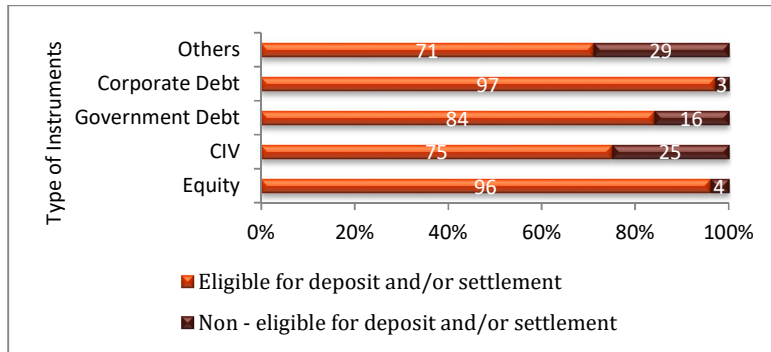
4.3.3. From the information received, it is clear that most CSDs are holding securities in dematerialized form. However, there are some cases where CSDs continue to hold certain securities in immobilized form.

4.3.4. Percentage of CSDs issuing the various instruments in immobilized vs dematerialized form.

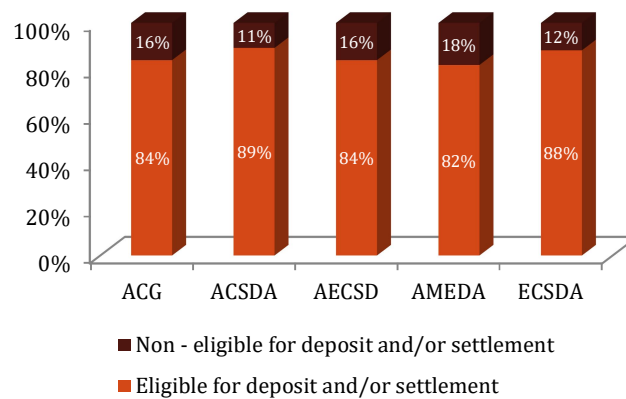


4.3.5. Form of Custody:

a. All CSDs (100 CSDs)



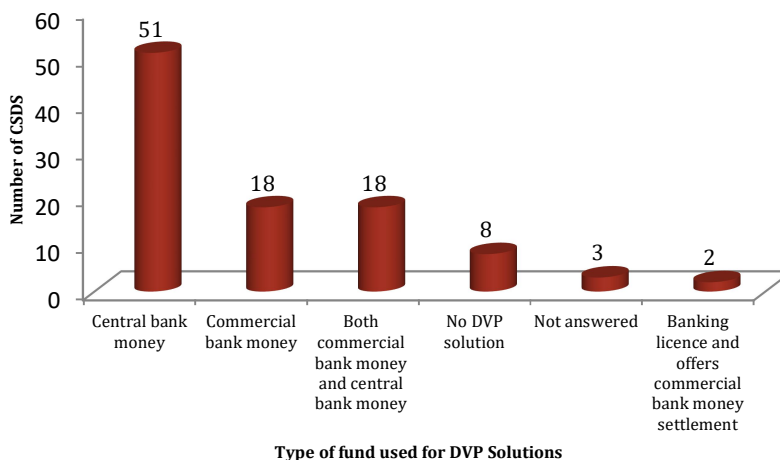
b. Regional association wise breakup



4.4. DVP SOLUTION

4.4.1. From the information received during the survey it is observed that 89% of the CSDs (89 CSDs) are providing a DVP solution facility.

4.4.2. Of the 97 CSDs 51 settle in Central Bank funds, 2 CSDs have banking license and offers Commercial Bank money settlement and 18 use external Commercial Bank funds for settlement. There are 18 CSDs that use both Commercial Bank and Central Bank funds for settlement. 8 CSDs do not have a DVP solution.



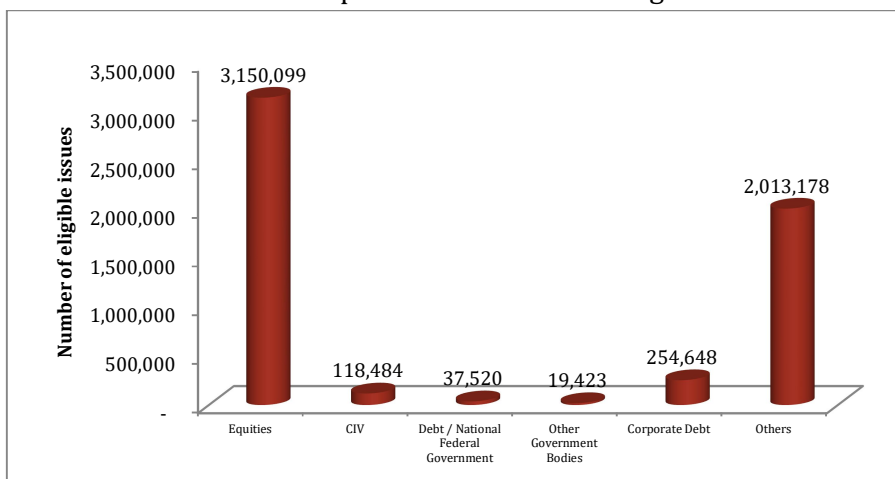
4.4.3. Of 100 CSDs, only 11 (or its group entity) have a banking license.

5. ELIGIBLE ISSUES

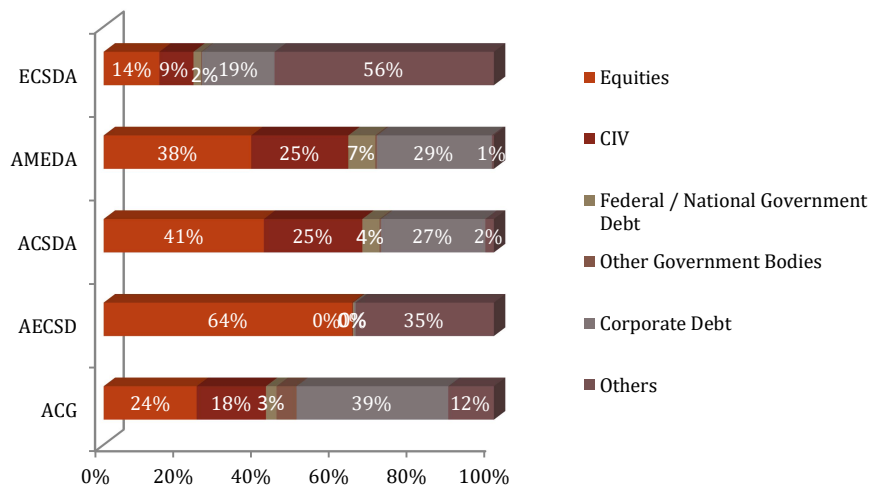
5.1. The number of distinct eligible issues for financial instruments for deposit and/or settlement is obtained with bifurcation in financial instrument types as follows: Equities, CIV (i.e., Funds), Debt (Federal/ National Govt.), Debt (Other Govt. bodies), Debt (corporate) and Others.

5.2. The total number of eligible issues across 88 responding CSDs is 5,593,343.

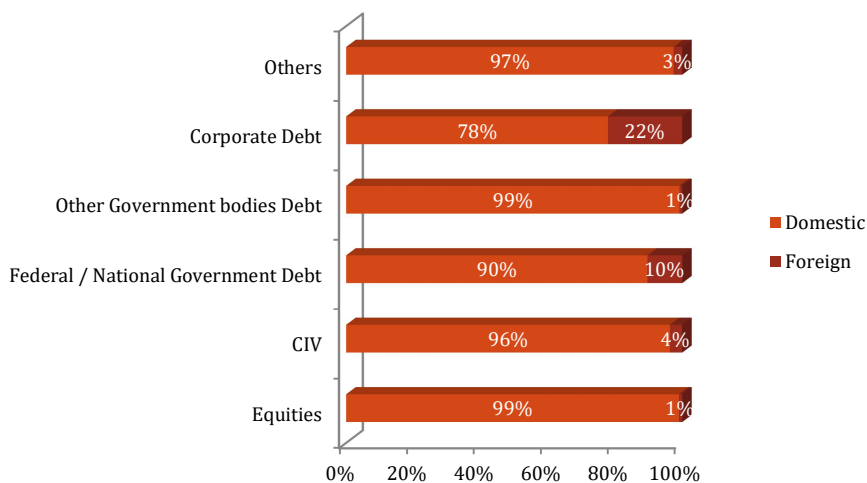
5.3. The total number of eligible issues across all CSDs who have provided the details with bifurcation in financial instruments are provided in the following chart:



5.4. The percentages of the distinct eligible issues for various financial instruments held by member CSDs under the respective Regional Associations is provided the following:



5.5. The number of distinct eligible issues by instrument type is provided in the following chart:

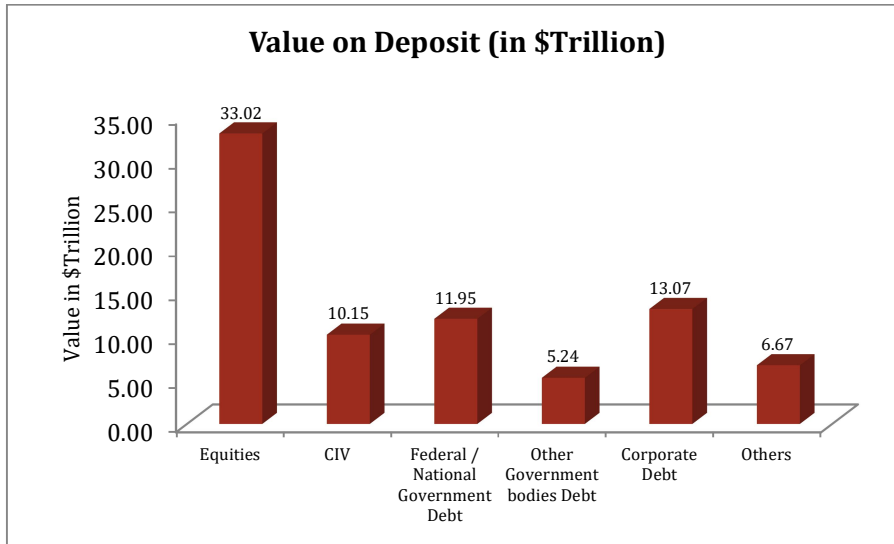


5.6. On comparing data of 73 CSDs, who have provided data in both years i.e., 2017 and 2019, it is observed that number of eligible issues have increased by 477% over period of 2 years.

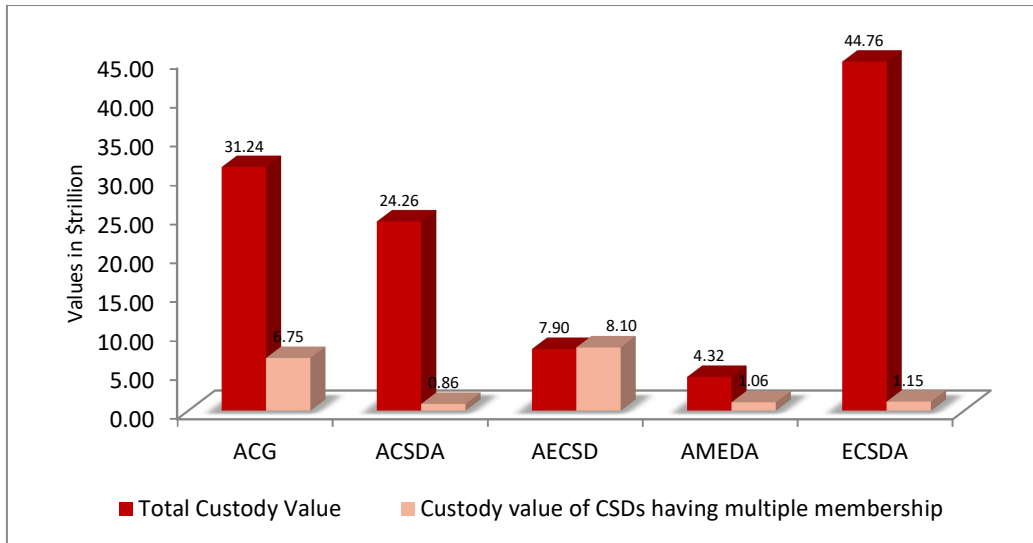
6. VALUE OF DEPOSITS

6.1. The value on deposit with CSDs for the various instruments is obtained with bifurcation in financial instrument types, namely; Equities, CIV, Debt (Federal/ National Govt.), Debt (Other Govt. bodies), Debt (corporate) and others.

6.2. Total custody value of all responding CSDs \$ 80.10 trillion (excluding two CSDs who have not provided instrument bifurcation).



6.3. The custody value (USD Trillion) by Regional Association is provided in the following chart of 100 CSDs, 86 have provided total value of CSDs, out of which 11 CSDs are members of more than one association. Therefore, their custody value is included in each regional association where they are a member.



6.4. The custody value of the top 5 CSDs in terms of value is USD 56.39 trillion which is 70% of total custody value (excluding two CSDs who have not provided instrument bifurcation).

6.5. On comparing data of 73 CSDs, who have provided data in both years i.e., 2017 and 2019, it is observed that custody values have increased by 41% over the period of 2 years.

7. TRANSACTION VOLUMES

Information on the number of settlement instructions and the value of settlement instructions was included in the survey. Of 100 CSDs, 89 have provided the number of settlement instructions and 86 have provided the value of settlement instructions. The total number of settlement instructions and the total value of transactions are:

| Particular | Total |
|-----------------------------------|-----------------------|
| Number of settlement instructions | 20,613.63 Million |
| Value of settlement instructions | USD 7,613.79 Trillion |

Comparing data of 68 CSDs, who have provided data in both years i.e., 2017 and 2019, it is observed that number of settlement instructions have increased by 65% over the period of 2 years.

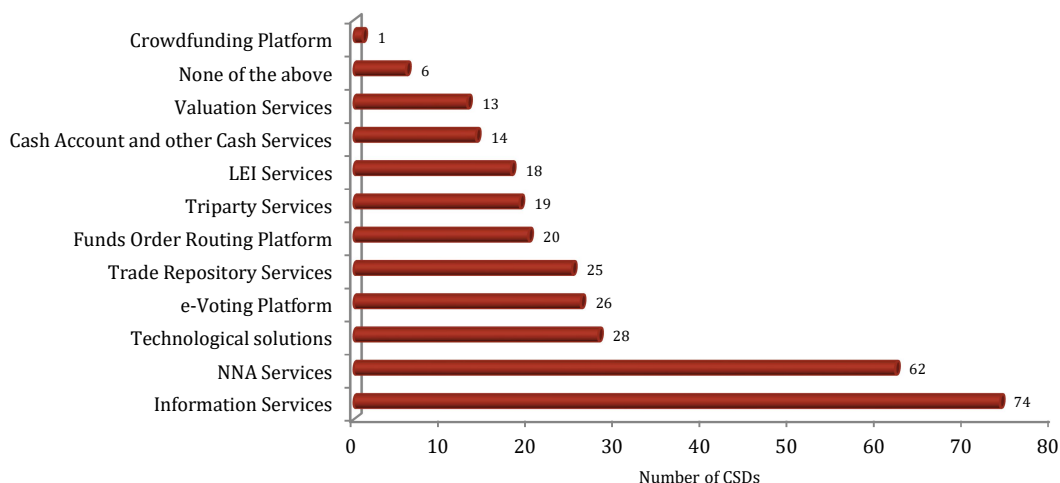
8. CORPORATE ACTIONS

Information on the number of corporate action events and the value of corporate actions was included in the survey. Of 92 CSDs, 86 have provided the number of corporate action events and 72 have provided the value of corporate actions. The total number of corporate action events and the total value of corporate actions are as follows:

| Item | Total |
|-----------------------------------|---------------------|
| Number of corporate action events | 296.06 Million |
| Value of corporate actions | USD 335.38 Trillion |

9. CSD SERVICES

Services provided by various CSDs are provided below:



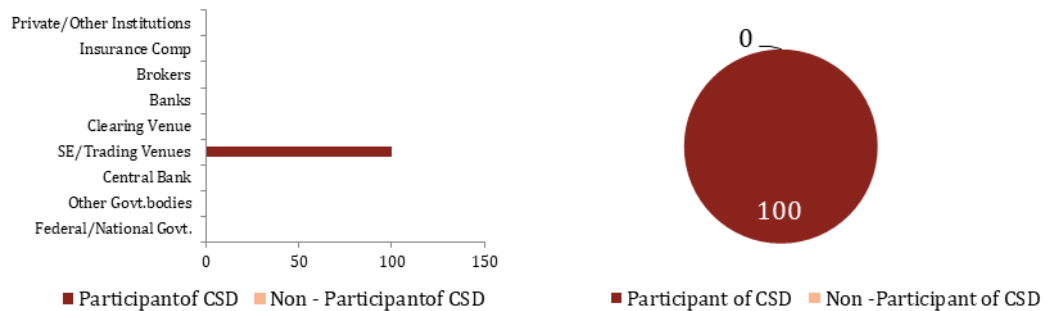
❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **LEI Number:** 2549002DKKE4YDPH2512
- **Local Currency:** Kazakhstani Tenge (KZT)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **CSD is owned or controlled by Stock Exchange.**

- Shareholding Pattern (in %)



- **Shares of CSD or Holding Company are not traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure: Beneficial Owner (Omnibus accounts can also be opened)**

- Financial Instruments accepted for deposit and/or settlement:

- Equities
- Collective Investment Vehicles
- Government Debt
- Corporate Debt
- Others

- Financial Instruments held in

- Dematerialized form** Equity, Collective Investment Vehicles, Corporate Debt
- Immobilized form**

- **CSD or its group company does not have banking license**
- **CSD has DVP solution**
- **CSD uses external Commercial Bank money (CoBM) for settlement**
- **Type of Participants**
 - **Domestic**
Custodian (4), Non-custodian Banks (3), Brokers (13), Others (1)

- **Non-domestic**
Brokers (4)

❑ ANNUAL REVENUE

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | - | - | 85.351 |
| Other Income | - | - | 8.595 |
| | - | - | 93.945 |

❑ LINKS WITH OTHER CSDs

- CSD has links with other CSD

❑ STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 |
|---------------------------------------|-----------------|-----------------|-----------------|
| Number of accounts held by CSD | | | |
| Beneficial Owner Accounts | - | - | 63,370 |
| Omnibus Accounts | - | - | 11 |
| Number of Participants | | | |
| Domestic Participants | - | - | 21 |
| Non-domestic Participants | - | - | 4 |

in USD (in millions i.e., '000000)

| Particulars | | | |
|--|---|---|---------|
| Conversion Rate | - | - | 420.607 |
| Settlement Instruction (During the year) | | | |
| Number of Instructions | - | - | 0.006 |
| Value of Instructions | - | - | 319.655 |
| Corporate Action Events (During the year) | | | |
| Number of Events handled by CSD | - | - | - |
| Value of Corporate action | - | - | - |

❑ OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify): Safekeeping & Settlement services, Securities Lending & Borrowing

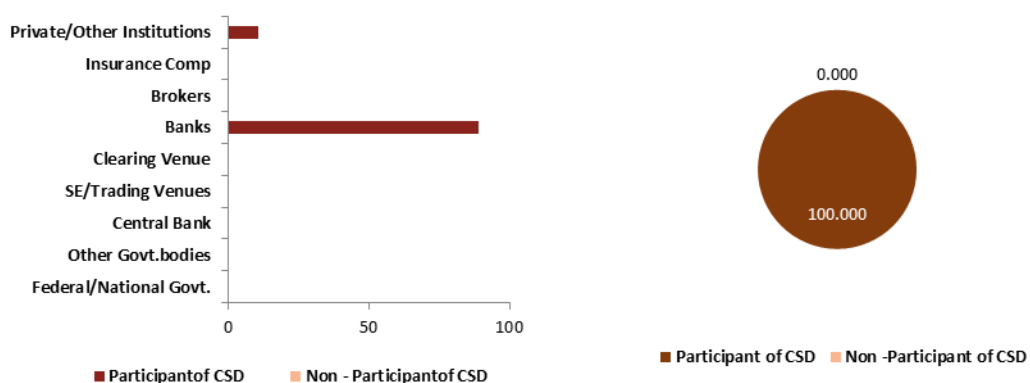
❑ BASIC INFORMATION

- **Regional Association:** AMEDA
- **LEI Number:** NAP
- **Local Currency:** Algerian Dinar (DZD)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **CSD is not a part of group of infrastructure of Stock Exchange, Central Bank, or Holding Company that owns another FMI.**

- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are not traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Government Debt, Corporate Debt, Others
 - Immobilized form** Equity
- **CSD or its group company does not have banking license**
- **CSD has a DVP solution**
- **CSD settles in Central Bank money**

- **Type of Participants**

o **Domestic**

Custodian (7), Brokers (10), Others (19)

FULL TIME EMPLOYEES: 25 (AS ON 31-Dec-19)

ANNUAL REVENUE

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 828.961 | 802.663 | 839.868 |
| Other Income | - | - | - |
| | 828.961 | 802.663 | 839.868 |

LINKS WITH OTHER CSDs

- CSD has no links with other CSD

STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|---------------------------------------|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Omnibus Accounts | 299 | 311 | 321 | | | |
| Number of Participants | | | | | | |
| Domestic Participants | 34 | 35 | 36 | | | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 5 | - | 6 | - | 6 | - |
| Debt (Federal/ National Govt.) | 27 | - | 27 | - | 29 | - |
| Debt (corporate) | 6 | - | 6 | - | 6 | - |

in USD (in millions i.e., '000000)

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|--|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Conversion Rate | 115.628 | 118.298 | 119.167 | | | |
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 0.000 | 0.001 | 0.000 | | | |
| Value of Instructions | 211.069 | 330.266 | 346.610 | | | |
| Corporate Action Events (During the year) | | | | | | |
| Value of Corporate action | 534.874 | 261.257 | 576.143 | | | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 102.951 | - | 101.608 | - | 100.867 | - |
| Debt (Federal/ National Govt.) | 3,679.530 | - | 3,757.034 | - | 4,081.345 | - |
| Debt (corporate) | 1,454.660 | - | 1,421.832 | - | 1,393.002 | - |

OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform



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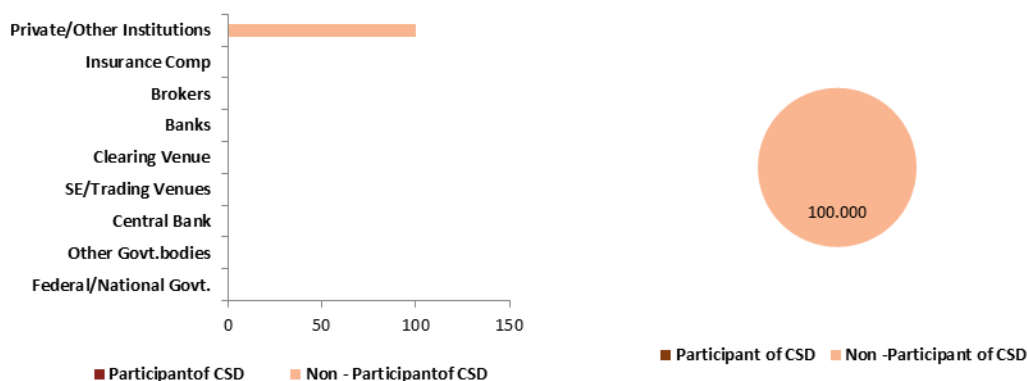
- Funds Order Routing Platform
- None of the above
- Others (Please specify)

❑ BASIC INFORMATION

- **Regional Association:** ACSDA
- **LEI Number:** 4GTK5S46E6H318LMDS44
- **Local Currency:** Brazilian Real (BRL)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **CSD is owned or controlled by Holding Company that also owns other FMIs**
- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure: Beneficial Owner**
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
- **CSD does not have banking license**
- **CSD has DVP solution**
- **CSD settles in Central Bank money**

- Type of Participants

- **Domestic**
Custodian (172), Brokers (121), Asset Managers (14508)
- **Non-domestic**
Others (287)

❑ **FULL TIME EMPLOYEES: 100 (AS ON 31-Dec-19)**

❑ **ANNUAL REVENUE**

| | in USD (in thousands i.e., '000) | | |
|--------------------------------|----------------------------------|------------------------|------------------------|
| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
| Revenue from Operations | 1,137,882.009 | 1,207,141.862 | 1,449,833.007 |
| Other Income | 202,261.341 | 174,272.366 | 182,013.846 |
| | 1,340,143.350 | 1,381,414.227 | 1,631,846.852 |

❑ **LINKS WITH OTHER CSDs**

- **CSD has links with other CSD**
 - **Number of Links with other CSDs - 2**
 - Only Outbound – 1 (Only Direct)
 - Both Inbound and Outbound – 1 (Only Direct)
 - **Purpose of Links with other CSDs**
 - Only FOP – 2(Only Direct)

❑ **STATISTICS & VOLUME**

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|--|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| <u>Number of accounts held by CSD</u> | | | | | | |
| Beneficial Owner Accounts | 8,000,000 | 11,000,000 | 15,000,000 | | | |
| <u>Number of Participants</u> | | | | | | |
| Domestic Participants | 172 | 10,919 | 14,801 | | | |
| Non-domestic Participants | - | 287 | 287 | | | |
| <u>Number of eligible issues</u> | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 935 | 127 | 1,042 | - | 1,151 | - |
| CIV | 1,237 | - | 6,025 | - | 5,500 | - |
| Debt (Federal/ National Govt.) | - | - | 1,666 | - | 2,009 | - |
| Debt (corporate) | 3,067 | - | 3,967 | - | 3,400 | - |
| Others | 1 | - | 2,441,945 | - | 1,657,868 | - |

in USD (in millions i.e., '000000)

| Conversion Rate | 3.312 | 3.874 | 4.030 | | | |
|---|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| <u>Settlement Instruction (During the year)</u> | | | | | | |
| Number of Instructions | 284.000 | 35.589 | 69.482 | | | |
| Value of Instructions | 878,616.512 | 2,405,269.671 | 3,272,180.823 | | | |
| <u>Corporate Action Events (During the year)</u> | | | | | | |
| Number of Events handled by CSD | 0.005 | 14.177 | 31.416 | | | |
| Value of Corporate action | 16,856.621 | 1,300,827.872 | 1,969,582.502 | | | |
| <u>Value on Deposit</u> | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 548,417.111 | 1,297.244 | 4,682,304.143 | - | 6,599,687.853 | - |
| CIV | 37,100.205 | - | 6,463,248.824 | - | 7,146,375.492 | - |

| | | | | | | |
|--------------------------------|-------------|---|---------------|---|---------------|---|
| Debt (Federal/ National Govt.) | - | - | 64,048.334 | - | 48,664.055 | - |
| Debt (Other Govt. bodies) | - | - | - | - | - | - |
| Debt (corporate) | 238,290.120 | - | 3,173,964.292 | - | 2,054,170.013 | - |
| Others | 138.872 | - | 6,107,263.052 | - | 6,058,669.794 | - |

❑ OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify): Centralized Investors Registration, Liens and Encumbrances Service Platform, Internet Sales of Treasuries (Tesouro Direto), Emission and cancelation of Exchanged Traded Funds (ETFs), Data and Information services, Investor Electronic Channel

❑ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

New Customer Service Model: Implementation of a new customer service model is based on dedicated and multi task teams over different processes and services provided by the company as a whole. The project aims to improve the level of service and customer experience and problem resolution to market Participants.

New on exchange instruments: B3 plans to 2019 the release of new products such as: reduction of the standard lot for IBOVESPA options, strategy contracts for USD Dollars instruments, new options contracts over SELIC interest rate variation, futures on international Indexes, lending and repo instruments for public bonds, among others.

Acceptance of new instruments as collateral: During 2019 B3 plans to expand the instruments which can be used by investors and market Participants as collateral. New instruments are Brazilian Depository Receipts (BDR), ETF funds on international Indexes and Fixed income ETF.

Improvements on the securities lending platform: B3 will improve its services on the securities lending platform allowing utilization of a Master account and allowing access to the Buy Side to the system. B3 also plans to add to its securities lending platform federal public bonds as available instrument.

Project Settlement in T+2: During 2018 B3, and its Participants, acted in the following agenda on what regards the adoption of the T+2 cycle: i) Definition Project T+2s operational details and business model, ii) Setting up technical working groups based on

processes with the objective of manage and support change within its own as well the participant's solutions. The Settlement in T+2 is expected to begin in May 2019.

New solutions and products for market data: New dashboards for the Datawise tool, Improvements in the SDH system GUI so to enhance user experience as well as the development of new reports available in the system. New information over corporate action events (such as dividends and interest) will be available in the UP2DATA platform. Additionally, UP2DATA will also provide information about private fixed income instruments. B3 will provide market Participants with new API solutions in order to allow access to its market data solutions such as Trader, UP2DATA, iMercado and Dados B3.

Updates in the trade repository and CSD systems due to Resolution 4.593 (phase 2) - Following the customizations in the systems phase 2 will concentrate its efforts on other financial instruments not addressed in Delivery 1 such as: COE e CDCA.

Development of new products and new functionalities in the OTC platform: During 2019 B3 expects to deliver a wide range of new instruments, tools and services in its OTC platform. Are worth of highlight the i) New automatic solution for LIG instruments improving the process of registrations of such products, ii) Registration in local currency (BRL) of specific instruments which are quoted in US Dollars, Flex option contracts over equities with CCP, new functionalities for structured instruments (COE), New improvements over possible underlying securities for cashflow swaps agreements, New Credit Rights for Agribusiness Credit Certificate (CDCA) will be available for registration at B3, thus increasing the possibilities of composing the instrument's ballast.

Liens and encumbrances on Credit Rights: Law 13.775 - With the publication of Law No. 13,775, on 12/20/2018, which created the Written Deed, B3 is adapting its system to allow the registration of this asset. The solution consists of a registration structure that will allow our clients to carry out the assignment operations with financial settlement and lien settlement in the same environment.

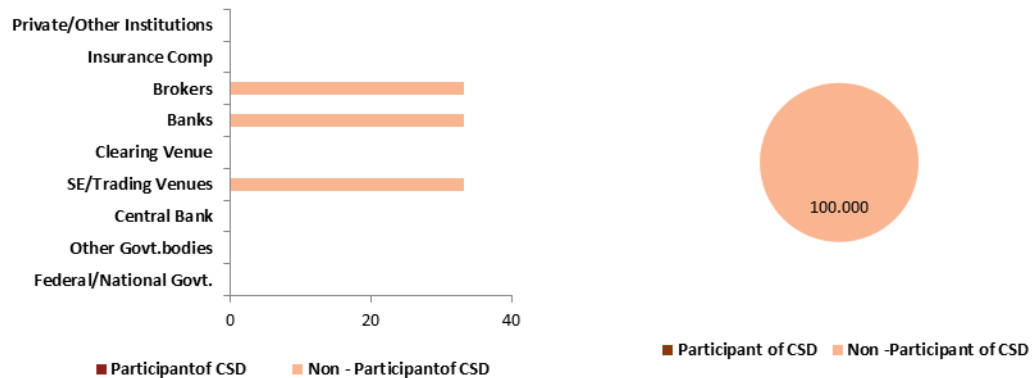
Liens and encumbrances for registered Financial Assets - B3, in compliance with Central Bank Circular 3912/18, will adapt its system for the constitution of Charges and Assurances of Financial Assets when in a "Registration" regime. The formalization of these assets as a guarantee of operations of the financial market will take place in B3 electronically. Publicity and effectiveness vis-à-vis third parties are provided by the company as a registered entity.

❑ BASIC INFORMATION

- **Regional Association:** ACSDA
- **Local Currency:** Bahamian Dollar (BSD)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **CSD is owned or controlled by Stock Exchange**
- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are not traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus (Beneficial Owner account can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Government Debt, Corporate Debt
 - Immobilized form** -
- **CSD or its group company does not have banking license**
- **CSD has no DVP solution**
- **Type of Participants**
 - **Domestic**
 - Non-custodian Banks (3)

❑ FULL TIME EMPLOYEES: 10 (AS ON 31-Dec-19)

ANNUAL REVENUE

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 1,748.238 | 1,845.420 | 1,555.027 |
| Other Income | 141.868 | 24.859 | 22.832 |
| | 1,890.106 | 1,870.279 | 1,577.859 |

LINKS WITH OTHER CSDs

- CSD has no links with other CSD

STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|---------------------------------------|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 66,568 | 46,642 | 66,568 | | | |
| Omnibus Accounts | 64 | 91 | 64 | | | |
| Number of Participants | | | | | | |
| Domestic Participants | - | - | 3 | | | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 43 | - | 43 | - | 43 | 1 |
| Debt (Other Govt. bodies) | 11 | - | 11 | - | 11 | - |
| Debt (corporate) | 3 | - | 3 | - | 3 | - |

in USD (in millions i.e., '000000)

| Conversion Rate | 1.000 | 1.000 | 1.000 | | | |
|--|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Corporate Action Events (During the year) | | | | | | |
| Value of Corporate action | 162,941.878 | 209.931 | 163,015,707.714 | | | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 124,926.155 | - | 151.220 | 0.598 | 124.983 | 0.600 |
| Debt (Other Govt. bodies) | 34,592.746 | - | 55.258 | - | 34.608 | - |
| Debt (corporate) | 3,422.977 | - | 2.855 | - | 3.425 | - |

OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify)

❑ **MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)**

Our CSD was accepted as a member of the Americas` Central Securities Depositories Association (ACSDA). This was an important step because we plan to utilize the membership in ACSDA as a major resource for further growth and development of our unique business, to get information on the best practices for CSDs in the region and around the world and to build lasting business contacts and relationships.

❑ BASIC INFORMATION

- **Regional Association:** ACSDA
- **Local Currency:** Paraguayan Guarani (PYG)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **Shares of CSD or Holding Company are not traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** Equity
- **CSD or its group company does not have banking license**

❑ LINKS WITH OTHER CSDs

- **CSD has no links with other CSD**

❑ STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|---------------------------------------|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 8.251 | 8.500 | 10.288 | | | |
| Number of Participants | | | | | | |
| Domestic Participants | 19 | 13 | 13 | | | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 0 | - | 0 | - | 684 | - |
| CIV | 1 | - | 1 | - | 1 | - |
| Debt (Federal/ National Govt.) | 165 | - | 99 | - | 223 | - |
| Debt (Other Govt. bodies) | 49 | - | 31 | - | 46 | - |
| Debt (corporate) | 4.105 | - | 3.748 | - | 6.080 | - |
| Others | 1.749 | - | 1.933 | 11 | 5.804 | - |

in USD (in millions i.e., '000000)

| | | | | | | |
|--|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Conversion Rate | 5.581,586 | 5.696,240 | 6.186,099 | | | |
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 0.006 | 0.006 | 0.010 | | | |
| Value of Instructions | 528 | 669 | 1.026 | | | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | 0.000 | 0.000 | 0.000 | | | |
| Value of Corporate action | 0.048 | 0.054 | 0.060 | | | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 26.90 | - | 0.35 | - | 43.662 | - |
| CIV | 5.09 | - | 4.19 | - | 5.31 | - |
| Debt (Federal/ National Govt.) | 143.688 | - | 159.157 | - | 175.002 | - |

| | | | | | | |
|---------------------------|---------|---|---------|-------|---------|---|
| Debt (Other Govt. bodies) | 90.163 | - | 72.056 | - | 110.033 | - |
| Debt (corporate) | 140.073 | - | 324.608 | - | 487.830 | - |
| Others | 126.482 | - | 232.286 | 5.288 | 299.337 | - |

☐ OTHER SERVICES (AS ON 31-Dec-19)

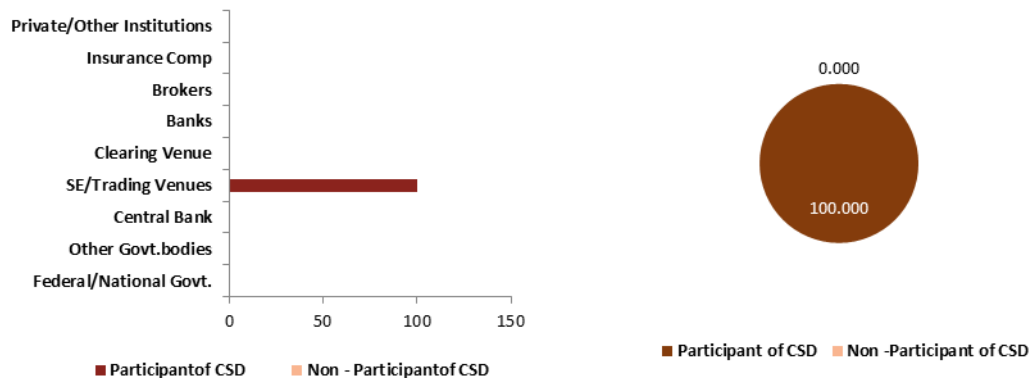
- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify)

❑ BASIC INFORMATION

- **Regional Association:** ACG
- **LEI Number:** 254900UDVVJ8TRS6T396
- **Local Currency:** Malaysian Ringgit (MYR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Holding Company that also owns other FMIs
- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure: Beneficial Owner** (Omnibus accounts can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** -
 - Immobilized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD uses external Commercial Bank money (CoBM) for settlement

- **Type of Participants**

o **Domestic**

Custodian (14), Non-custodian Banks (8), Brokers (31)

FULL TIME EMPLOYEES: 35 (AS ON 31-Dec-19)

ANNUAL REVENUE

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|-------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | - | 20,476.706 | 19,496.901 |
| Other Income | - | 925.480 | 889.640 |
| | - | 21,402.186 | 20,386.540 |

LINKS WITH OTHER CSDs

- CSD has no links with other CSD

STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|---------------------------------------|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | - | 2,476,053 | 2,492,905 | | | |
| Omnibus Accounts | - | 839 | 852 | | | |
| Number of Participants | | | | | | |
| Domestic Participants | - | 55 | 53 | | | |
| Non-domestic Participants | - | - | - | | | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | - | - | 1,834 | 95 | 1,919 | 106 |
| CIV | - | - | 30 | - | 36 | - |
| Debt (Other Govt. bodies) | - | - | 4 | - | 4 | - |
| Debt (corporate) | - | - | 17 | - | 14 | - |

in USD (in millions i.e., '000000)

| Conversion Rate | - | 4.134 | 4.090 | | | |
|--|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | - | 0.003809 | 0.003537 | | | |
| Value of Corporate action | - | 2,471.571 | 1,586.114 | | | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | - | - | 301,555.740 | 95,608.993 | 311,391.028 | 92,567.412 |
| CIV | - | - | 10,490.275 | - | 11,227.234 | - |
| Debt (Other Govt. bodies) | - | - | 23.461 | - | 24.202 | - |
| Debt (corporate) | - | - | 2,665.137 | - | 3,300.819 | - |

OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform

- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify)

MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

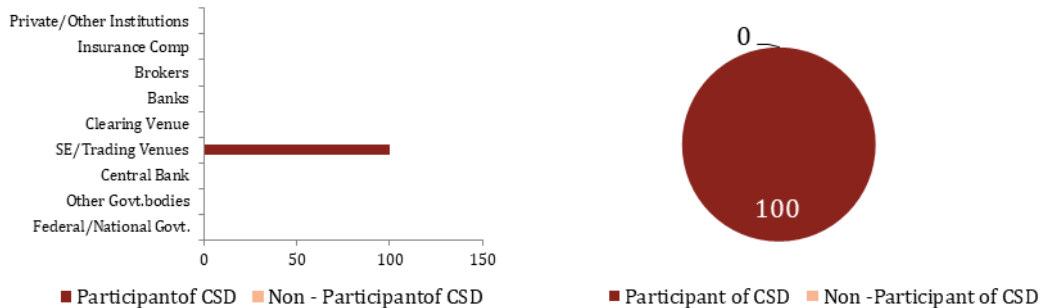
- Bursa Malaysia implemented the T+2 settlement cycle on 29 April 2019. The migration from a T+3 to T+2 settlement cycle is part of Bursa's ongoing efforts to improve the operational efficiency and reduce systemic risk. The shorter settlement cycle will align the clearing and settlement processes of the Malaysian capital market with those of major global exchanges in the US, Europe and Asia-Pacific, which are already operating a T+2 settlement cycle.
- Bursa Malaysia Depository launches its new mobile application, Bursa Anywhere on 11 June 2019. Bursa Anywhere enables the depositors to perform their Central Depository System (CDS) transactions electronically via their mobile phone.

❑ BASIC INFORMATION

- **Regional Association:** ACSDA
- **LEI Number:** 48510030C35RTMK7W149
- **Local Currency:** Argentine Peso (ARS)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **CSD is owned or controlled by Stock Exchange**
- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure: Beneficial Owner (Omnibus accounts can also be opened)**
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- **CSD or its group company does not have banking license**
- **CSD has DVP solution**
- **CSD offers both Commercial Bank money and Central Bank money for settlement**
- **Type of Participants**
 - **Domestic**
Custodian (581), Asset Managers (111), Others (40)

- **Non-domestic**
Others (3)

❑ **FULL TIME EMPLOYEES: 203 (AS ON 31-Dec-19)**

❑ **ANNUAL REVENUE**

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 8,366.175 | 74,671.575 | 44,514.451 |
| Other Income | 61,534.857 | 21,839.675 | 12,792.251 |
| | 69,901.032 | 96,511.250 | 57,306.703 |

❑ **LINKS WITH OTHER CSDs**

- **CSD has links with other CSD**
 - **Number of Links with other CSDs - 4**
 - Only Inbound – 2 (Only Direct)
 - Both Inbound and Outbound – 2 (Only Direct)
 - **Purpose of Links with other CSDs**
 - Only FOP – 1 (Only Direct)
 - Both DVP & FOP - 3 (Only Direct)

❑ **STATISTICS & VOLUME**

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|---------------------------------------|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 378,000 | 405,337 | 376,033 | | | |
| Omnibus Accounts | 728 | - | - | | | |
| Number of Participants | | | | | | |
| Domestic Participants | 723 | 857 | 732 | | | |
| Non-domestic Participants | 5 | 3 | 3 | | | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 1,374 | - | 0 | - | 0 | - |
| CIV | 753 | - | - | - | - | - |
| Debt (Federal/ National Govt.) | 1,412 | 28 | - | - | - | - |
| Debt (corporate) | 1,593 | 32 | - | - | - | - |
| Others | 102 | 6 | - | - | - | - |

in USD (in millions i.e., '000000)

| | | | | | | |
|--|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Conversion Rate | 18.618 | 37.500 | 56.690 | | | |
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 0.000 | 7.183 | 6.747 | | | |
| Value of Instructions | 0.000 | 0.000 | 0.000 | | | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | 0.013 | 0.013 | 0.013 | | | |
| Value of Corporate action | 414,268.803 | 0.000 | 0.000 | | | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 21.576 | - | 0.000 | - | 0.000 | - |
| CIV | 151.031 | - | - | - | - | - |
| Debt (Federal/ National Govt.) | 179,080.168 | 742.610 | - | - | - | - |
| Debt (corporate) | 172.607 | 75.765 | - | - | - | - |
| Others | 21.576 | 0.698 | 0.121 | 0.002 | 0.067 | 0.001 |

OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify)

MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

- <https://aif2.cnv.gov.ar/Presentations/publicview/018C5C0E-86BD-45E0-A360-215E777C191F>



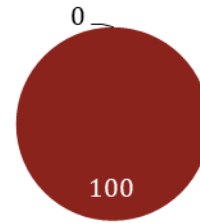
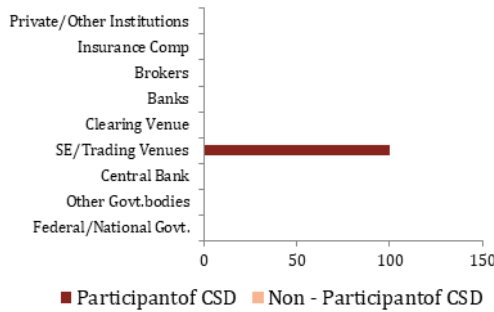
❑ BASIC INFORMATION

- **Regional Association:** ACG
- **Local Currency:** Nepalese Rupee (NPR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Stock Exchange

- Shareholding Pattern (in %)



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner

- Financial Instruments accepted for deposit and/or settlement:

- Equities
- Collective Investment Vehicles
- Government Debt
- Corporate Debt
- Others

- Financial Instruments held in

- Dematerialized form** Equity, Collective Investment Vehicles, Corporate Debt
- Immobilized form** -

- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD uses external Commercial Bank money (CoBM) for settlement
- **Type of Participants**
 - o **Domestic**
Custodian (76), Brokers (50)

❑ FULL TIME EMPLOYEES: 35 (AS ON 31-Dec-19)



ANNUAL REVENUE

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|-------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 0.000 | 1,304.406 | 1,412.895 |
| Other Income | - | 270.742 | 402.105 |
| | 0.000 | 1,575.148 | 1,815.000 |

LINKS WITH OTHER CSDs

- CSD has no links with other CSD

STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | | As on 31-Dec-18 | | As on 31-Dec-19 | |
|---------------------------------------|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | - | | 1,436,721 | | 1,626,585 | |
| Omnibus Accounts | - | | - | | - | |
| Number of Participants | | | | | | |
| Domestic Participants | 0 | | 126 | | 126 | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 0 | - | 317 | - | 329 | - |
| CIV | - | - | 13 | - | 21 | - |
| Debt (corporate) | - | - | 4 | - | 17 | - |

in USD (in millions i.e., '000000)

| | | | | | | |
|--|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Conversion Rate | 0.000 | | 117.165 | | 117.246 | |
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 0.000 | | 1.140 | | 1.584 | |
| Value of Instructions | 0.000 | | 791.323 | | 911.137 | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | 0.000 | | 0.001 | | 0.001 | |
| Value of Corporate action | 0.000 | | 120.382 | | 189.446 | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 0.000 | - | 3,112.608 | - | 2,129.357 | - |
| CIV | - | - | 56.802 | - | 167.086 | - |
| Debt (corporate) | - | - | 51.893 | - | 246.747 | - |

OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify)



❑ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

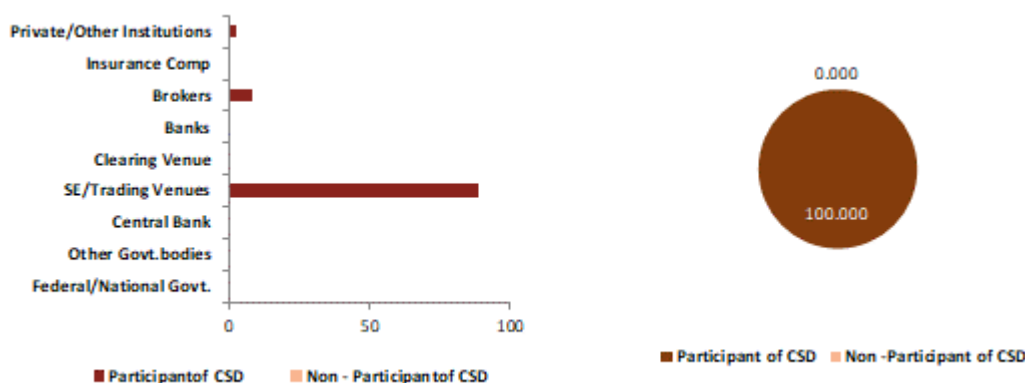
- During this fiscal year our CSD introduced a platform to provide mandatory electronic delivery instruction slip-EDIS through its online portal Mero Share. Further the WACC (weighted average cost of calculation) calculation of the investors.
- CDSC conducted 23rd ACG AGM 2019 from 9th to 12th of September 2019. CDSC has a very good participation from ACG member countries.

❑ BASIC INFORMATION

- **Regional Association:** ACSDA
- **Local Currency:** United States Dollar (USD)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **CSD is owned or controlled by Holding Company that also owns other FMIs**
- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are not traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure: Beneficial Owner**
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt
 - Immobilized form** Equity, Government Debt, Others
- **CSD or its group company does not have banking license**
- **CSD has DVP solution**
- **CSD offers both Commercial Bank money and Central Bank money for settlement**
- **Type of Participants**
 - **Domestic**
Non-custodian Banks (12), Brokers (10), Others (3)

- **Non-domestic**
Custodian (3), Brokers (5), Others (3)

❑ FULL TIME EMPLOYEES: 13 (AS ON 31-Dec-19)

❑ ANNUAL REVENUE

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 1,087.000 | 1,137.800 | 1,253.300 |
| Other Income | 128.000 | 134.880 | 137.800 |
| | 1,215.000 | 1,272.680 | 1,391.100 |

❑ LINKS WITH OTHER CSDs

- CSD has no links with other CSD

❑ STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|---------------------------------------|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 18,586 | - | - | | | |
| Number of Participants | | | | | | |
| Domestic Participants | 25 | 25 | 25 | | | |
| Non-domestic Participants | 4 | 11 | 11 | | | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 47 | 40 | 25 | - | 23 | - |
| CIV | - | - | - | - | 1 | - |
| Debt (Federal/ National Govt.) | 10 | 9 | 12 | 9 | 14 | 9 |
| Debt (Other Govt. bodies) | 8 | 33 | 2 | 13 | 2 | 13 |
| Debt (corporate) | 53 | 29 | 20 | 29 | 21 | 22 |
| Others | 9 | 2 | 3 | - | 3 | - |

in USD (in millions i.e., '000000)

| Conversion Rate | 1.000 | 1.000 | 1.000 | | | |
|--|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 0.018 | 0.020 | 0.018 | | | |
| Value of Instructions | 5,781.700 | 7,474.000 | 8,239.000 | | | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | 0.000 | 0.000 | 0.000 | | | |
| Value of Corporate action | 100,000.000 | 2.000 | 2.000 | | | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 912.500 | 1.200 | 0.866 | - | 0.869 | - |
| CIV | - | - | - | - | 0.004 | - |
| Debt (Federal/ National Govt.) | 1,602.600 | 1,124.100 | 1.839 | 1.310 | 1.903 | 1.206 |
| Debt (Other Govt. bodies) | 201.900 | 30.330 | 0.218 | 0.043 | 0.203 | 0.068 |
| Debt (corporate) | 1,864.200 | 493.500 | 1.791 | 0.499 | 1.952 | 0.516 |
| Others | 18.400 | 1.800 | 1.676 | - | 1.850 | - |

❑ OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services

- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify)

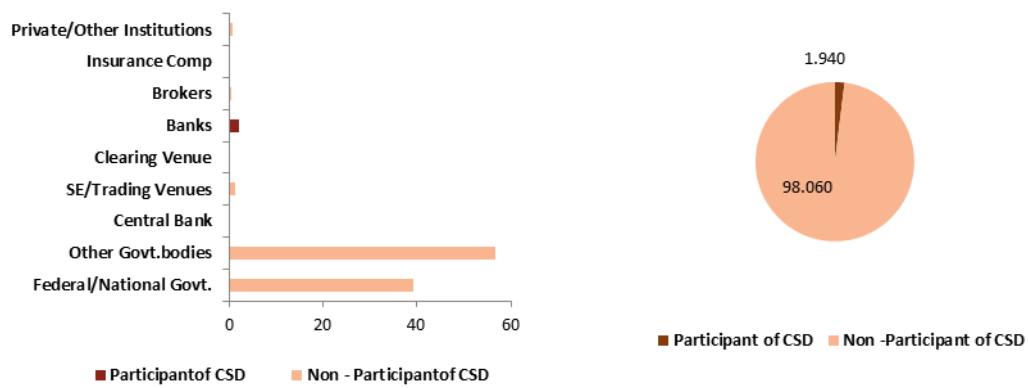
❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **LEI Number:** 747800V0CCQGC89GOW91
- **Local Currency:** Croatian Kuna (HRK)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI. Joint stock company in which the Financial Agency (FINA) and state are major shareholders.

- Shareholding Pattern (in %)



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner (Omnibus accounts can also be opened)

- Financial Instruments accepted for deposit and/or settlement:

- Equities
- Collective Investment Vehicles
- Government Debt
- Corporate Debt
- Others

- Financial Instruments held in

- Dematerialized form** Equity, Government Debt, Corporate Debt, Others
- Immobilized form** -

- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD settles in Central Bank money

- Type of Participants

- **Domestic**
Custodian (14), Non-custodian Banks (5), Brokers (4), Asset Managers (2),
Others (1)
- **Non-domestic**
Custodian (1)

FULL TIME EMPLOYEES: 58 (AS ON 31-Dec-19)

ANNUAL REVENUE

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 4,128.556 | 3,919.300 | 4,573.848 |
| Other Income | 332.153 | 392.064 | 285.484 |
| | 4,460.709 | 4,311.364 | 4,859.332 |

LINKS WITH OTHER CSDs

- CSD has no links with other CSD

STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | | As on 31-Dec-18 | | As on 31-Dec-19 | |
|---------------------------------------|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 879,920 | | 880,168 | | 881,776 | |
| Omnibus Accounts | 352 | | 298 | | 312 | |
| Number of Participants | | | | | | |
| Domestic Participants | 30 | | 26 | | 26 | |
| Non-domestic Participants | 1 | | 1 | | 1 | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 809 | - | 787 | - | 767 | - |
| Debt (Federal/ National Govt.) | 85 | - | 90 | - | 89 | - |
| Debt (corporate) | 6 | - | 6 | - | 4 | - |
| Others | 2 | - | 2 | - | 2 | - |

in USD (in millions i.e., '000000)

| | 6.271 | | 6.469 | | 6.650 | |
|--|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Conversion Rate | | | | | | |
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 0.218 | | 0.233 | | 0.250 | |
| Value of Instructions | 31,273.194 | | 33,201.983 | | 32,568.970 | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | 0.001 | | 0.001 | | 0.001 | |
| Value of Corporate action | 5,285.760 | | 4,120.966 | | 5,256.643 | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 47,356.542 | - | 42,728.809 | - | 44,180.847 | - |
| Debt (Federal/ National Govt.) | 20,392.222 | - | 20,511.683 | - | 21,783.686 | - |
| Debt (corporate) | 18.421 | - | 9.294 | - | 8.747 | - |
| Others | 0.787 | - | 0.763 | - | 0.742 | - |

OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services

- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify)

MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

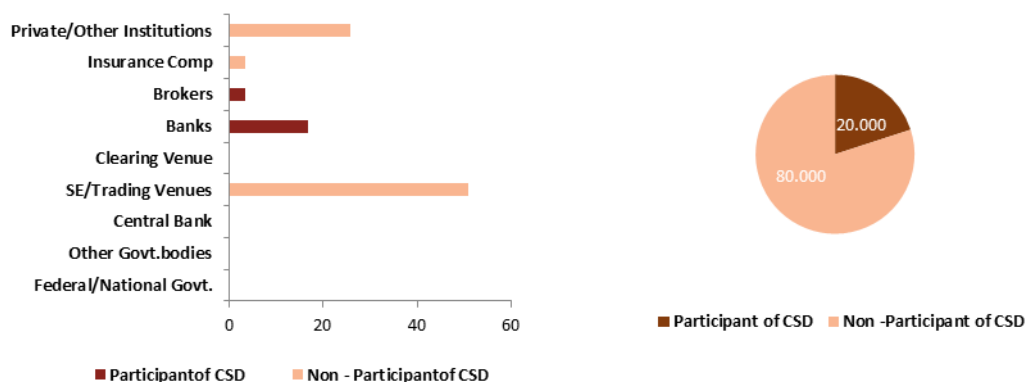
- Regulation (EU) N 909/2014 of the European Parliament and of the Council of 23 July 2014 on improving securities settlement in the European Union and on central securities depositories and amending Directives 98/26/EC and 2014/65/EU and Regulation (EU) No 236/2012 (CSDR)
- Regulation (EU) No 648/2012 on OTC derivatives, central counterparties and trade repositories (EMIR)
- These projects include harmonization processes to obtain the work license.

❑ BASIC INFORMATION

- **Regional Association:** AMEDA
- **Local Currency:** Mauritian Rupee (MUR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **CSD is a subsidiary (51%) of the Stock Exchange but not controlled by it**
- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are not traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure: Beneficial Owner**
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- **CSD or its group company does not have banking license**
- **CSD has DVP solution**
- **CSD settles in Central Bank money**
- **Type of Participants**
 - o **Domestic**
Custodian (7), Brokers (9)

FULL TIME EMPLOYEES: 12 (AS ON 31-Dec-19)

ANNUAL REVENUE

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 1,986.104 | 1,497.165 | 1,523.675 |
| Other Income | 509.329 | 365.310 | 377.800 |
| | 2,495.433 | 1,862.475 | 1,901.475 |

LINKS WITH OTHER CSDs

- CSD does not have links with other CSD

STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|---------------------------------------|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 116,000 | 89,569 | 92,382 | | | |
| Number of Participants | | | | | | |
| Domestic Participants | 15 | 16 | 16 | | | |
| Non-domestic Participants | 1 | - | - | | | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 103 | 3 | 102 | 2 | 102 | 2 |
| CIV | 4 | 2 | 4 | - | 4 | - |
| Debt (Other Govt. bodies) | 66 | - | 66 | - | 66 | - |
| Debt (corporate) | 52 | - | 69 | - | 65 | - |

in USD (in millions i.e., '000000)

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|--|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Conversion Rate | 33.917 | 39.750 | 40.000 | | | |
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 0.100 | 0.070 | 0.074 | | | |
| Value of Instructions | 548.542 | 414.987 | 396.308 | | | |
| Corporate Action Events (During the year) | | | | | | |
| Value of Corporate action | 587.431 | 279.681 | 381.157 | | | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 8,945.413 | 245.068 | 7,941.148 | 3.059 | 7,812.022 | 3.158 |
| CIV | 25.238 | 2.005 | 23.567 | - | 33.251 | - |
| Debt (Other Govt. bodies) | 3.833 | - | 3.978 | - | 5.330 | - |
| Debt (corporate) | 707.164 | - | 762.171 | - | 926.769 | - |

OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above

Others (Please specify): Registry software as a service

MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

- Successful configuration of the CDS and trading systems to operate in Work-From-Home (WFH) mode during the Covid-19 lockdown and curfew period systems to operate in Work From Home (WFH) mode during the Covid-19 lockdown and curfew period.
- We amended the CDS Procedures and made changes to the CDS system to allow CDS to act on the instructions of a bare owner and usufructuary to inscribe usufruct on securities. This was not previously possible and the process for inscribing usufruct on securities was rather cumbersome in the sense that the securities had first to be withdrawn from CDS and the certificate was sent to the registry to inscribe usufruct and then deposited again in CDS.
- We replace our main database server with a new machine. This was a risky process which required careful planning and execution. The old server had been in operation for 13 years and was still operating faultlessly but we decided to replace it as a preventive move.
- We made changes to the mySEM mobile app and web application to allow investors whose accounts are registered with custodian banks to place orders online via an investment dealer of their choice using mySEM. There was a technical issue that previously did not allow such clients to place orders via mySEM.
- No complaints from Participants, issuers or investors.

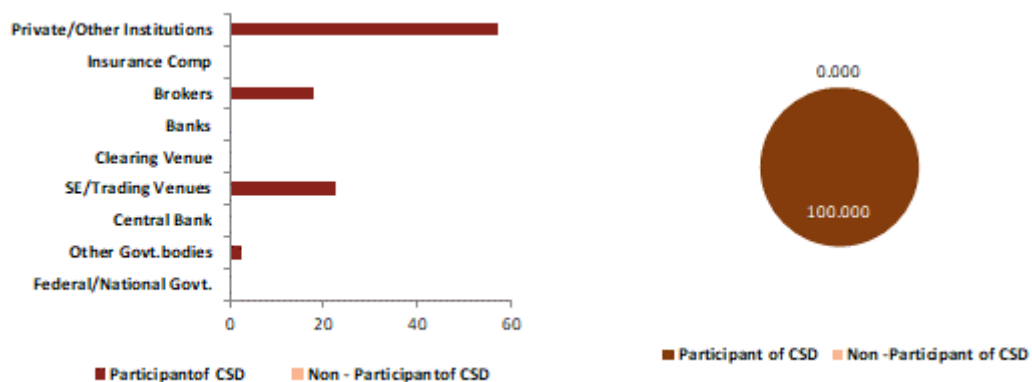
❑ BASIC INFORMATION

- **Regional Association:** AMEDA
- **Local Currency:** Kenyan Shilling (KES)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI. CSD is owned and controlled by various institutions.

- Shareholding Pattern (in %)



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Corporate Debt
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD settles in Central Bank money

- **Type of Participants**
 - o **Domestic**
Custodian (17), Brokers (20), Others (3)

FULL TIME EMPLOYEES: 40 (AS ON 31-Dec-19)

ANNUAL REVENUE

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 3,138.363 | 3,362.842 | 3,184.353 |
| Other Income | 108.229 | 209.850 | 468.425 |
| | 3,246.592 | 3,572.692 | 3,652.778 |

LINKS WITH OTHER CSDs

- **CSD has links with other CSD**
 - o **Number of Links with other CSDs - 1**
 - Both Inbound and Outbound – 1 (Only Direct)
 - o **Purpose of Links with other CSDs**
 - Only DVP – 1 (Only Direct)
 - Only DVP – 1 (Only Indirect)

STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|---------------------------------------|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 1,800,000 | 2,151,912 | 1,881,714 | | | |
| Number of Participants | | | | | | |
| Domestic Participants | 42 | 41 | 40 | | | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 60 | 2 | 64 | - | 62 | - |
| Debt (Federal/ National Govt.) | - | - | 1 | - | - | - |
| Debt (corporate) | 2 | - | 21 | - | 12 | - |

in USD (in millions i.e., '000000)

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|--|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Conversion Rate | 103.295 | 101.850 | 101.340 | | | |
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | - | 7,500.134 | - | | | |
| Value of Instructions | - | 1,738.509 | 1,561.181 | | | |
| Corporate Action Events (During the year) | | | | | | |
| Value of Corporate action | - | 0.018 | 0.045 | | | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 19,362.008 | - | - | - | - | - |
| Debt (corporate) | 11,617.205 | - | - | - | - | - |

OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services

- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify)

MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

- Compliance level on CPMI-IOSCO PFMI
- CDSC commences assessment of its level of observance of the principles set out by the Committee on Payment and Market Infrastructures (CPMI) and the Technical Committee of the International Organization of Securities Commissions (IOSCO); CPMI-IOSCO Principles for Financial Market Infrastructures (PFMI) through an independent party Thomas Murray [TM].
- The results of the 2019 analysis shows that CDSC is broadly observant overall for the CPMI-IOSCO PFMIs. Out of the 24 Principles, 16 Principles are applicable to CDSC; out of which, CDSC observes 3, broadly observes 9, partly observes 3, does not observe 1.
- Robust IT system
- In October 2019, CDSC launched its new upgraded system as an avenue to roll-out an array of product offering and solutions e.g., Security Lending and Borrowing, Swift capabilities.



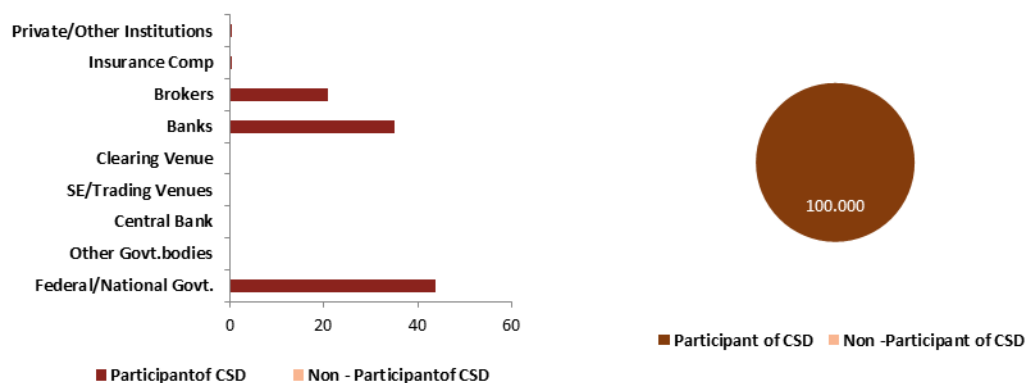
❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **LEI Number:** 74780000G07H7WLOWI31
- **Local Currency:** Bulgarian Lev (BGN)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI.

- Shareholding Pattern (in %)



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner (Omnibus accounts can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** Equity
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD settles in Central Bank money



- Type of Participants

- **Domestic**
Non-custodian Banks (9), Brokers (30), Asset Managers (10), Others (41)
- **Non-domestic**
Non-custodian Banks (2)

❑ **FULL TIME EMPLOYEES: 28 (AS ON 31-Dec-19)**

❑ **ANNUAL REVENUE**

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 1,226.959 | 1,291.607 | 1,455.625 |
| Other Income | - | 2.405 | 2.407 |
| | 1,226.959 | 1,294.013 | 1,458.032 |

❑ **LINKS WITH OTHER CSDs**

- **CSD has links with other CSD**
 - **Number of Links with other CSDs - 1**
 - Only Outbound – 1 (Only Direct)
 - **Purpose of Links with other CSDs**
 - Only DVP – 1 (Only Direct)

❑ **STATISTICS & VOLUME**

| Particulars | As on 31-Dec-17 | | As on 31-Dec-18 | | As on 31-Dec-19 | |
|---------------------------------------|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 267,975 | | 6,000,000 | | 6,000,000 | |
| Omnibus Accounts | - | | 100 | | 150 | |
| Number of Participants | | | | | | |
| Domestic Participants | 85 | | - | | 90 | |
| Non-domestic Participants | 3 | | - | | 2 | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 1,316 | - | 2,121 | - | 2,148 | - |
| CIV | 113 | - | 160 | - | 162 | - |
| Debt (Federal/ National Govt.) | 24 | - | 24 | - | 24 | - |
| Debt (Other Govt. bodies) | 10 | - | - | - | - | - |
| Debt (corporate) | 145 | - | 366 | - | 390 | - |
| Others | 198 | - | 636 | - | 654 | - |

in USD (in millions i.e., '000000)

| Conversion Rate | 1.630 | 1.663 | 1.662 | | | |
|--|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 0.065 | 0.038 | 0.051 | | | |
| Value of Instructions | 90.181 | 0.000 | 338.904 | | | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | 0.000 | 0.000 | 0.001 | | | |
| Value of Corporate action | 322.077 | 145.984 | 148,396,646.105 | | | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 39,544.885 | - | 16,182.933 | - | 16,261.836 | - |
| CIV | 1,190.764 | - | 1,171.178 | - | 1,172.106 | - |
| Debt (Federal/ National | 547.224 | - | 1.357 | - | 1,358.142 | - |



| | | | | | | |
|---------------------------|-----------|---|-----------|---|-----------|---|
| Govt.) | | | | | | |
| Debt (Other Govt. bodies) | 102.451 | - | - | - | - | - |
| Debt (corporate) | 1,182.175 | - | 681.876 | - | 1,522.100 | - |
| Others | 2,285.824 | - | 2,162.138 | - | 2,167.028 | - |

OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify)

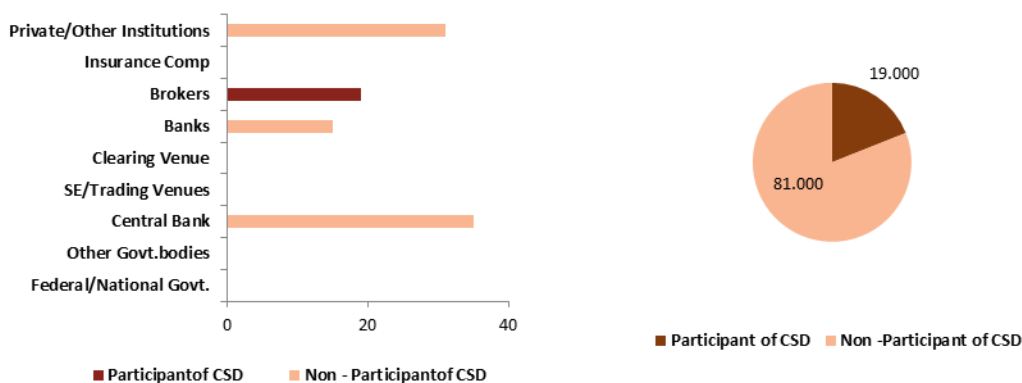
❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **Local Currency:** Euro (EUR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI.

- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner (Omnibus accounts can also be opened)

- **Financial Instruments accepted for deposit and/or settlement:**

- Equities
- Collective Investment Vehicles
- Government Debt
- Corporate Debt
- Others

- **Financial Instruments held in**

Dematerialized form Equity, Government Debt, Corporate Debt

Immobilized form -

- CSD or its group company does not have banking license

- CSD has DVP solution

- CSD settles in Central Bank money

- **Type of Participants**

o **Domestic**

Custodian (6), Non-custodian Banks (3), Brokers (6)

□ **FULL TIME EMPLOYEES: 14 (AS ON 31-Dec-19)**

□ **ANNUAL REVENUE**

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 682.721 | 913.561 | 1,053.198 |
| Other Income | 33.596 | 30.768 | 46.151 |
| | 716.317 | 944.328 | 1,099.350 |

□ **LINKS WITH OTHER CSDs**

- CSD has no links with other CSD

□ **STATISTICS & VOLUME**

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|---------------------------------------|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 472,607 | 472,832 | 473,111 | | | |
| Omnibus Accounts | 92 | 90 | 96 | | | |
| Number of Participants | | | | | | |
| Domestic Participants | 14 | 18 | 15 | | | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 323 | - | 311 | - | 316 | - |
| Debt (Federal/ National Govt.) | 1 | - | 1 | - | 1 | - |
| Debt (Other Govt. bodies) | 7 | - | 4 | - | 7 | - |
| Debt (corporate) | 3 | - | 4 | - | 3 | - |

in USD (in millions i.e., '000000)

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|--|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Conversion Rate | 0.833 | 0.845 | 0.845 | | | |
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 0.020 | 0.016 | 0.007 | | | |
| Value of Instructions | 1,235.995 | 5,032.868 | 1,754.936 | | | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | 0.001 | 0.000 | 0.000 | | | |
| Value of Corporate action | 373.727 | 636.652 | 660.320 | | | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 5,800.561 | - | 5,507.399 | - | 5,444.680 | - |
| CIV | - | - | - | - | - | - |
| Debt (Federal/ National Govt.) | 105.341 | - | - | - | 107.687 | - |
| Debt (Other Govt. bodies) | 241.470 | - | 107.687 | - | 349.094 | - |
| Debt (corporate) | 19.198 | - | 185.789 | - | 26.034 | - |
| Others | - | - | 21.301 | - | - | - |

OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify)

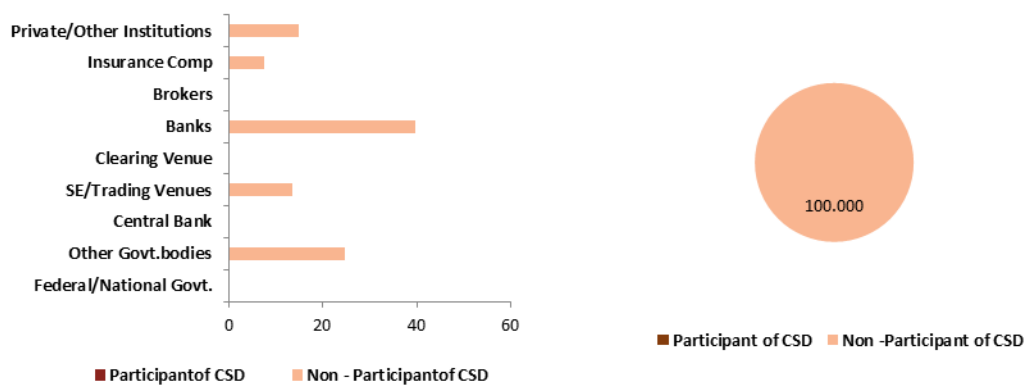
❑ BASIC INFORMATION

- **Regional Association:** ACG
- **Local Currency:** Bangladeshi Taka (BDT)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI. CDBL is sponsored by various government and private institutions of the country regulated by the Bangladesh Securities and Exchange Commission

- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner

- **Financial Instruments accepted for deposit and/or settlement:**

- Equities
- Collective Investment Vehicles
- Government Debt
- Corporate Debt
- Others

- **Financial Instruments held in**

Dematerialized form Equity, Collective Investment Vehicles, Corporate Debt

Immobilized form -

- CSD or its group company does not have banking license

- CSD has no DVP solution

- Type of Participants

o Domestic

Custodian (77), Non-custodian Banks (28), Brokers (300), Asset Managers (4), Others (2)

❑ FULL TIME EMPLOYEES: 66 (AS ON 31-Dec-19)

❑ LINKS WITH OTHER CSDs

- CSD has no links with other CSD

❑ STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|---------------------------------------|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 2,723,895 | 2,778,598 | 2,578,102 | | | |
| Omnibus Accounts | 212 | 199 | 199 | | | |
| Number of Participants | | | | | | |
| Domestic Participants | 403 | 411 | 411 | | | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 317 | - | 329 | - | 337 | - |
| CIV | 61 | - | 74 | - | 82 | - |
| Debt (corporate) | 1 | - | - | - | 1 | - |
| Others | - | - | 1 | - | - | - |

in USD (in millions i.e., '000000)

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|--|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Conversion Rate | 82.796 | 84.558 | 84.417 | | | |
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 34.280 | 17.331 | 16.307 | | | |
| Value of Instructions | 26,204.186 | 33,612.116 | 28,481.875 | | | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | 0.000 | 0.000 | 0.000 | | | |
| Value of Corporate action | 1,590.056 | 2,228.290 | 3,670.311 | | | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 30,181.971 | - | 0.000 | - | 0.000 | - |
| CIV | 647.158 | - | - | - | - | - |
| Debt (corporate) | 35.654 | - | - | - | - | - |

❑ OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify)

❑ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

- During the year as per instruction from Bangladesh Securities and Exchange Commission CDBL implemented Mangal, a new module in the Depository Software to block debit and credit transactions of BO Accounts of directors / sponsors / placement holders to prevent buy or sale without prior declaration or payment of tax where applicable, by them.

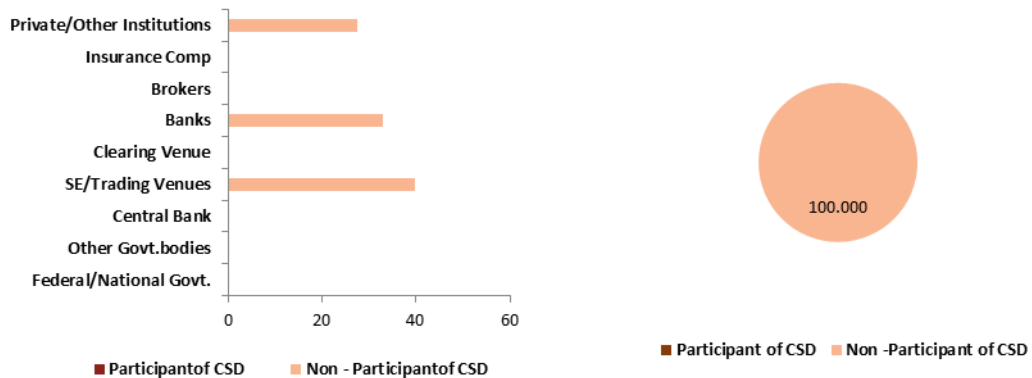
❑ BASIC INFORMATION

- Regional Association: ACG
- Local Currency: (PKR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI.

- Shareholding Pattern (in %)



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- Principal Account structure: Beneficial Owner

- Financial Instruments accepted for deposit and/or settlement:

- Equities
- Collective Investment Vehicles
- Government Debt
- Corporate Debt
- Others

- Financial Instruments held in

- Dematerialized form** Equity, Corporate Debt, Others
- Immobilized form** -

- CSD or its group company does not have banking license

- CSD has no DVP solution

- Type of Participants

- **Domestic**
 - Non-custodian Banks (63), Brokers (228), Others (269)
- **Non-domestic**
 - Custodian (3)

❑ FULL TIME EMPLOYEES: 419 (AS ON 31-Dec-19)

❑ ANNUAL REVENUE

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 9,907.150 | 7,075.000 | 5,581.250 |
| Other Income | 8,052.163 | 6,212.500 | 7,637.500 |
| | 17,959.313 | 13,287.500 | 13,218.750 |

❑ LINKS WITH OTHER CSDs

- CSD has no links with other CSD

❑ STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|---------------------------------------|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 333,678 | 301,324 | 299,575 | | | |
| Number of Participants | | | | | | |
| Domestic Participants | 615 | 547 | 560 | | | |
| Non-domestic Participants | 3 | 3 | 3 | | | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 724 | - | 729 | - | 757 | - |
| CIV | 35 | - | - | - | - | - |
| Debt (Federal/ National Govt.) | 1 | - | - | - | - | - |
| Debt (corporate) | 98 | - | 108 | - | 108 | - |
| Others | - | - | 35 | - | 37 | - |

in USD (in millions i.e., '000000)

| | | | | | | |
|--|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Conversion Rate | 110.675 | 160.000 | 160.000 | | | |
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 5.630 | - | - | | | |
| Value of Instructions | 17,488.719 | - | - | | | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | 0.001 | 0.001 | 0.001 | | | |
| Value of Corporate action | 454.822 | 6.252 | 6.036 | | | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 80,343.191 | - | 32,914.250 | - | 26,660.313 | - |
| Debt (Federal/ National Govt.) | 1.238 | - | - | - | - | - |
| Debt (corporate) | 2,472.880 | - | - | - | - | - |

❑ OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform

- None of the above
- Others (Please specify)

MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

• Zakat Declaration Repository

CDC's proposed model for Zakat Declaration Repository has been formally approved by the Ministry of Religious Affairs and Interfaith Harmony (MORA) which shall be recognized mechanism for matters concerning CZ-50 under the Zakat Law as well as for Zakat Audit purposes. System Development for the establishment of Zakat Repository has started.

• Agri Collateral Management Company

CDC for quite some time is advocating the formation of a Collateral Management Company for farmers to get finances against their produce. A major achievement in this regard is the agreement of various major stakeholders including CDC, Arif Habib Group, Pakistan Agriculture Coalition (PAC) and National Foods to form Pakistan's first Agricultural CMC with the title of Naymat Collateral Management Company. An important meeting of sponsors of Naymat CMC was recently held along with PAC representatives where CDC has presented its Facility Management Agreement proposition.

• Sahulat

Sahulat Account is launched to facilitate small investor who wish to invest up to Rs. 500,000 only. This account can be opened with simplified KYC requirements.

• Support to Market through Reduction in Tariff & Cost Rationalization

Substantial revision in the tariff structure of both depository and trustee services to provide relief and ease of doing business to investors despite the depressed capital market situation and comparatively lower income of the Company as compared to preceding years. As the infrastructure backbone of Pakistan Capital Market, CDC's main objective is to provide efficient and cost-effective services to all its customers.

As part of the recent reduction, CDC has provided 100% waiver on Maintenance fee for such Sub-Account holders who also have Investor Accounts. Taking this initiative further in order to promote the growth of Pakistan's corporate debt market, CDC has significantly reduced its annual fee for long-term redeemable securities by approximately 65%. Additionally, CDC has rationalized its tariff structure for next five years which also includes reduction in custody fee for the year 2019-20 and 2020-21 by 14% and 16% respectively.

CDC has also significantly reduced its service tariff for the Mutual Fund Industry up to 57% applicable to different categories of funds. Apart from the said reduction, CDC has also rationalized the trustee fee for small sized mutual funds / schemes by permanently eliminating the minimum fee component and implementing flat rate instead of slab system. This reduction is expected to facilitate Asset Management

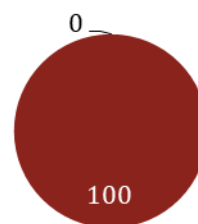
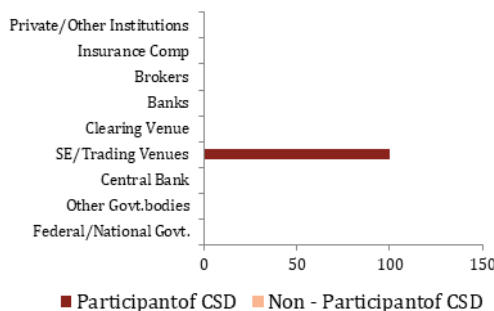
Companies in making their funds / schemes more investment-worthy in the current challenging times. This is not the first time CDC has reduced its service tariff. In fact, in the past, the tariffs for depository services (both custody and transaction fee) and trustee services have been reduced a number of times.

❑ BASIC INFORMATION

- **Regional Association:** AECSD
- **Local Currency:** Armenian Dram (AMD)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **CSD is owned or controlled by Stock Exchange**
- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are not traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- **CSD or its group company does not have banking license**

❑ LINKS WITH OTHER CSDs

- **CSD has no links with other CSD**

❑ STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | | As on 31-Dec-18 | | As on 31-Dec-19 | |
|---------------------------------------|-----------------|---------|-----------------|---------|-----------------|---------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 105,000 | | - | | - | |
| Omnibus Accounts | 22 | | - | | - | |
| Number of Participants | | | | | | |
| Domestic Participants | 20 | | - | | - | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |

| | | | | | | |
|--------------------------------|-----|---|---|---|---|---|
| Equities | 144 | - | - | - | - | - |
| Debt (Federal/ National Govt.) | 158 | - | - | - | - | - |
| Debt (corporate) | 39 | - | - | - | - | - |

in USD (in millions i.e., '000000)

| | | | |
|--|------------|---------|---------|
| Conversion Rate | 484.100 | 483.750 | 521.130 |
| Settlement Instruction (During the year) | | | |
| Number of Instructions | 0.002 | - | - |
| Value of Instructions | 91,689.319 | - | - |
| Corporate Action Events (During the year) | | | |
| Value of Corporate action | 214.832 | - | - |

OTHER SERVICES (AS ON 31-Dec-19)

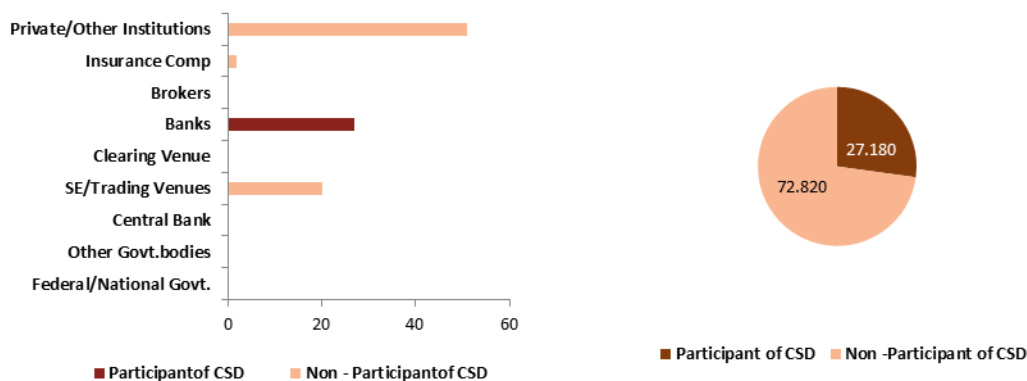
- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify)

❑ BASIC INFORMATION

- **Regional Association:** ACG, AECSD
- **Primary Regional Association:** ACG
- **Local Currency:** Indian Rupee (INR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **CSD is owned or controlled by Stock Exchange**
- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure: Beneficial Owner**
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- **CSD or its group company does not have banking license**
- **CSD has no DVP solution**
- **Type of Participants**
 - **Domestic**
Custodian (11), Non-custodian Banks (36), Brokers (542), Others (11)

FULL TIME EMPLOYEES: 220 (AS ON 31-Dec-19)

ANNUAL REVENUE

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | - | 21,163.421 | 21,375.221 |
| Other Income | - | 3,934.264 | 5,069.286 |
| | - | 25,097.685 | 26,444.507 |

LINKS WITH OTHER CSDs

- CSD has no links with other CSD

STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | | As on 31-Dec-18 | | As on 31-Dec-19 | |
|---------------------------------------|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | - | | 16,724,959 | | 19,721,768 | |
| Number of Participants | | | | | | |
| Domestic Participants | - | | 592 | | 600 | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | - | - | 11,836 | - | 14,797 | - |
| CIV | - | - | 16,215 | - | 16,631 | - |
| Debt (Federal/ National Govt.) | - | - | 3,166 | - | 3,751 | - |
| Debt (corporate) | - | - | 8,091 | - | 8,334 | - |
| Others | - | - | 2,502 | - | 2,958 | - |

in USD (in millions i.e., '000000)

| | | | | | | |
|--|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Conversion Rate | - | | 71.270 | | 71.270 | |
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | - | | 4.052 | | 3.775 | |
| Value of Instructions | - | | 114,801.740 | | 90,779.430 | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | - | | 0.041 | | 0.045 | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | - | - | 262,087.274 | - | 276,124.176 | - |
| CIV | - | - | 7,868.248 | - | 10,249.614 | - |
| Debt (Federal/ National Govt.) | - | - | 112.109 | - | 188.017 | - |
| Debt (corporate) | - | - | 11,539.217 | - | 12,789.813 | - |
| Others | - | - | 1,622.562 | - | 3,374.491 | - |

OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform

- None of the above
- Others (Please specify)

❑ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

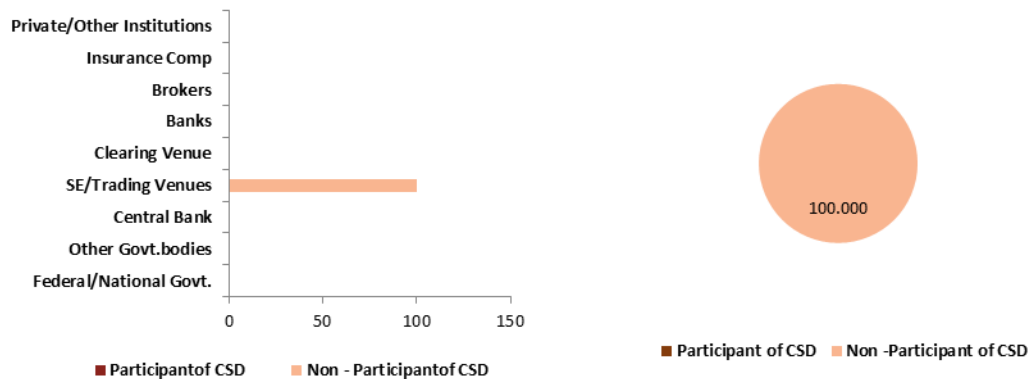
- CDSL is the First and only Depository to have started operations in IFSC (International Financial Service Centre) at GIFT City (Gujarat International Finance Tech City), Gandhinagar, Gujarat, India
- CDSL becomes the largest depository in India in terms of active demat accounts.
- CDSL was listed on June 30, 2017 on the NSE. CDSL received an overwhelming response in its Initial Public Offer (IPO) and thereafter became the first and remains till date, the only depository to get listed in the Asia-Pacific region and only the second depository to be publicly listed in the World.

❑ BASIC INFORMATION

- **Regional Association:** ACG
- **Local Currency:** Sri Lankan Rupee (LKR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Stock Exchange
- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are not traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Corporate Debt
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD uses external Commercial Bank money (CoBM) for settlement
- **Type of Participants**
 - **Domestic**
Custodian (15), Brokers (27)

FULL TIME EMPLOYEES: 19 (AS ON 31-Dec-19)

ANNUAL REVENUE

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 81.953 | 610.617 | 58.341 |
| Other Income | 28.110 | 195.872 | - |
| | 110.063 | 806.490 | 58.341 |

LINKS WITH OTHER CSDs

- CSD has no links with other CSD

STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | | As on 31-Dec-18 | | As on 31-Dec-19 | |
|---------------------------------------|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 625,307 | | 824,716 | | 835,057 | |
| Number of Participants | | | | | | |
| Domestic Participants | 42 | | 39 | | 42 | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 327 | - | 331 | - | 280 | - |
| CIV | 2 | - | 2 | 7 | 14 | - |
| Debt (Federal/ National Govt.) | - | - | 139 | - | - | - |
| Debt (corporate) | 195 | - | 195 | - | 257 | - |

in USD (in millions i.e., '000000)

| Particulars | As on 31-Dec-17 | | As on 31-Dec-18 | | As on 31-Dec-19 | |
|---|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Conversion Rate | 153.500 | | 196.409 | | 196.409 | |
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 0.980 | | 0.886 | | 1.195 | |
| Value of Instructions | 1,437.076 | | 1,018.632 | | 871.140 | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 16,263.858 | - | 12,931.856 | - | 13,518.843 | - |
| CIV | 8.046 | - | - | - | - | - |
| Debt (corporate) | 1,863.082 | - | 1,469.166 | - | 1,450.673 | - |

OTHER SERVICES (AS ON 31-Dec-19)

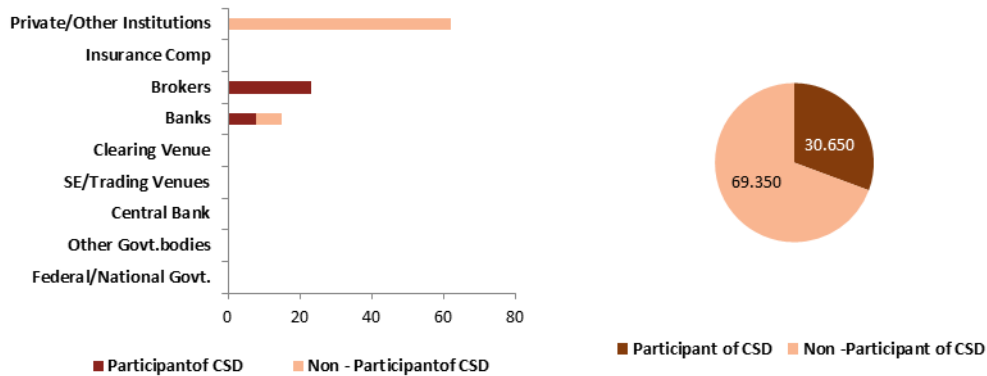
- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify): Asset Servicing and Registrar Services

❑ BASIC INFORMATION

- **Regional Association:** ACSDA
- **LEI Number:** 254900MDSWTYRJJPTY13
- **Local Currency:** United States Dollar (USD)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI. Our group is defined as follows: Latinex Holding Inc (listed on the Stock Exchange) is the owner of 100% of the shares of Latinex Inc and Latinex Inc is the owner of 100% of Central Latinoamericana de Valores, SA (Latin Clear) and Bolsa de Valores de Panama, SA.
- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Collective Investment Vehicles, Corporate Debt
 - Immobilized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD uses external Commercial Bank money (CoBM) for settlement

- **Type of Participants**

o **Domestic**

Non-custodian Banks (6), Brokers (27), Others (1)

☐ **FULL TIME EMPLOYEES: 24 (AS ON 31-Dec-19)**

☐ **ANNUAL REVENUE**

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 3,658.322 | 4,010.420 | 4,306.432 |
| Other Income | 128.300 | 38.397 | 67.072 |
| | 3,786.622 | 4,048.817 | 4,373.504 |

☐ **LINKS WITH OTHER CSDs**

- **CSD has links with other CSD**

o **Number of Links with other CSDs - 5**

▪ Both Inbound and Outbound – 5 (Only Direct)

o **Purpose of Links with other CSDs**

▪ Both DVP & FOP - 5 (Only Direct)

☐ **STATISTICS & VOLUME**

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|---------------------------------------|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Omnibus Accounts | 34 | 35 | 34 | | | |
| Number of Participants | | | | | | |
| Domestic Participants | 34 | 35 | 34 | | | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 87 | 187 | 90 | 196 | 93 | 199 |
| CIV | 33 | 33 | 40 | 64 | 44 | 81 |
| Debt (Federal/ National Govt.) | 25 | 43 | 16 | 63 | 19 | 75 |
| Debt (corporate) | 869 | 329 | 990 | 483 | 1,181 | 547 |
| Others | 31 | 1 | 31 | 2 | 31 | 2 |

in USD (in millions i.e., '000000)

| Conversion Rate | 1.000 | 1.000 | 1.000 | | | |
|--|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 0.007 | 0.010 | 0.012 | | | |
| Value of Instructions | 5,323.500 | 5,839.400 | 6,899.800 | | | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | 0.021 | 0.027 | 0.030 | | | |
| Value of Corporate action | 248.000 | 4609.300 | 3897.900 | | | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 4,936.435 | 303.826 | 5,390.052 | 345.415 | 6,002.427 | 287.330 |
| CIV | 3.264 | 2,695.966 | 2,869.965 | 7.925 | 3,278.607 | 6.894 |
| Debt (Federal/ National Govt.) | 5,385.400 | 73.974 | 4,917.506 | 214.114 | 7,049.603 | 230.500 |
| Debt (corporate) | 7,729.565 | 608.209 | 7,262.985 | 580.621 | 7,836.469 | 492.844 |
| Others | 392.741 | 3.988 | 453.275 | 4.781 | 424.051 | 3.790 |

☐ **OTHER SERVICES (AS ON 31-Dec-19)**

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify): Our services are detailed in the following page <https://www.latinclear.com.pa/servicios/>

MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

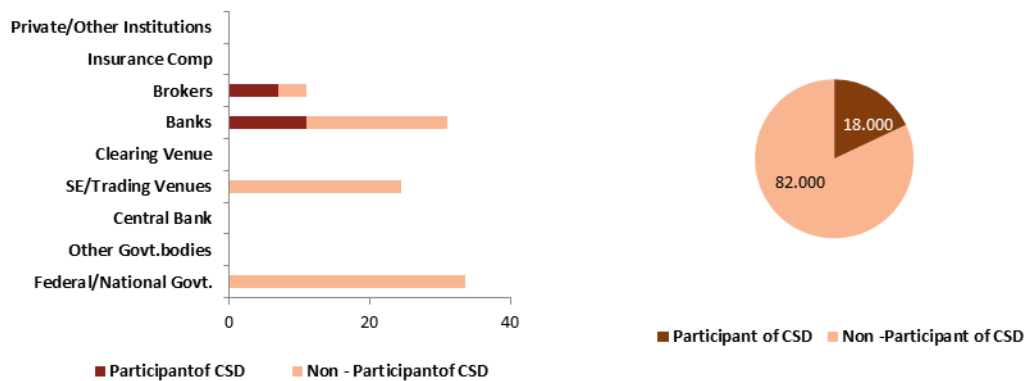
- In follow-up to the regional markets' integration project, in August 2019, Nicaragua and Panama signed a new agreement of custody and settlement. On the other hand, Banco Nacional de Panama started the first phase of the Real Time Gross Settlement (RTGS), where Latin Clear now can do more than one settlement per day and will allow it to develop new services for its Participants.

❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **Local Currency:** Bosnia-Herzegovina Convertible Mark (BAM)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **CSD is owned or controlled by Stock Exchange**
- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are not traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure: Beneficial Owner (Omnibus accounts can also be opened)**
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- **CSD or its group company does not have banking license**
- **CSD has DVP solution**
- **CSD settles in Central Bank money**

- **Type of Participants**
 - o **Domestic**
Custodian (3), Brokers (5)

FULL TIME EMPLOYEES: 24 (AS ON 31-Dec-19)

ANNUAL REVENUE

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 1,100.582 | 985.134 | 886.244 |
| Other Income | 250.913 | 738.108 | 302.733 |
| | 1,351.495 | 1,723.242 | 1,188.977 |

LINKS WITH OTHER CSDs

- CSD has no links with other CSD

STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | | As on 31-Dec-18 | | As on 31-Dec-19 | |
|---------------------------------------|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 1,266,471 | | 1,268,865 | | 1,269,569 | |
| Omnibus Accounts | 20 | | 22 | | 22 | |
| Number of Participants | | | | | | |
| Domestic Participants | 8 | | 8 | | 8 | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 25 | - | 19 | - | 22 | - |
| CIV | 7 | - | 13 | - | - | - |
| Debt (Federal/ National Govt.) | 17 | - | 4 | - | 11 | - |
| Debt (Other Govt. bodies) | 1 | - | 4 | - | 4 | - |
| Debt (corporate) | 5 | - | 6 | - | 5 | - |

in USD (in millions i.e., '000000)

| Conversion Rate | 1.630 | | 1.684 | | 1.731 | |
|--|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 0.020 | | 18.960 | | 0.016 | |
| Value of Instructions | 58.403 | | 100.354 | | 69.906 | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | - | | - | | - | |
| Value of Corporate action | 602.441 | | 230.399 | | 268.646 | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 5,877.711 | - | 5,655.464 | - | 5,417.991 | - |
| CIV | 844.845 | - | 101.542 | - | 98.793 | - |
| Debt (Federal/ National Govt.) | 1,051.391 | - | 903.782 | - | 865.446 | - |
| Debt (Other Govt. bodies) | 24.489 | - | 27.315 | - | 30.042 | - |
| Debt (corporate) | 86.337 | - | 80.165 | - | 73.950 | - |

OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services

- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify)

MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

Safekeeping a register of units - procedures and signed first contract Dividend - conditions for dividend paying has been created Omnibus account treatment improved in accordance with custody banks requirements so that natural and legal persons when changing global custody bank can have their assets on Omnibus account.

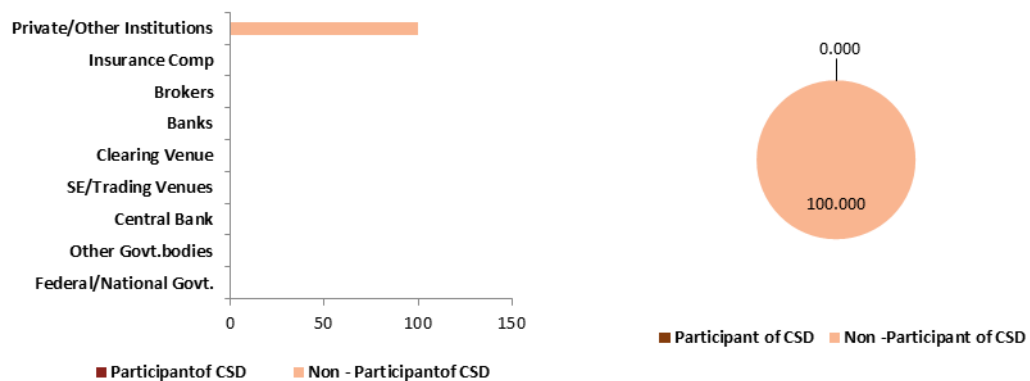
❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **LEI Number:** 48510000JZ17NWGUA510
- **Local Currency:** Euro (EUR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI.

- Shareholding Pattern (in %)



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner (Omnibus accounts can also be opened)

- Financial Instruments accepted for deposit and/or settlement:

- Equities
- Collective Investment Vehicles
- Government Debt
- Corporate Debt
- Others

- Financial Instruments held in

Dematerialized form Equity, Collective Investment Vehicles, Government Debt, Corporate Debt

Immobilized form -

- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD settles in Central Bank money

- Type of Participants

- **Domestic**
Custodian (9), Brokers (2), Asset Managers (4), Others (3)
- **Non-domestic**
Custodian (2)

❑ **FULL TIME EMPLOYEES: 63 (AS ON 31-Dec-19)**

❑ ANNUAL REVENUE

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 11,137.114 | 11,402.072 | 12,100.613 |
| Other Income | 388.755 | 23.480 | 19.958 |
| | 11,525.869 | 11,425.553 | 12,120.572 |

❑ LINKS WITH OTHER CSDs

- **CSD has links with other CSD**
 - **Number of Links with other CSDs - 4**
 - Only Inbound – 3 (Only Direct)
 - Only Inbound – 1 (Only Indirect)
 - **Purpose of Links with other CSDs**
 - Both DVP & FOP - 3 (Only Direct)
 - Both DVP & FOP - 1 (Only Indirect)

❑ STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | | As on 31-Dec-18 | | As on 31-Dec-19 | |
|---------------------------------------|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 191,257 | | 171,298 | | 154,508 | |
| Omnibus Accounts | 649 | | 133 | | 141 | |
| Number of Participants | | | | | | |
| Domestic Participants | 19 | | 18 | | 18 | |
| Non-domestic Participants | 1 | | 2 | | 2 | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 539 | - | 486 | - | 465 | - |
| Debt (Federal/ National Govt.) | 29 | - | 30 | - | 26 | - |
| Debt (corporate) | 33 | - | 36 | - | 40 | - |

in USD (in millions i.e., '000000)

| | | | | | | |
|--|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Conversion Rate | 0.833 | 0.852 | 0.852 | | | |
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 0.132 | 0.069 | 0.052 | | | |
| Value of Instructions | 30,127.322 | 20,154.383 | 21,118.253 | | | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | 0.000 | 0.000 | 0.000 | | | |
| Value of Corporate action | 21,771.487 | 8,623.169 | 12,230.930 | | | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 24,558.765 | - | 24,919.515 | - | 25,692.339 | - |
| Debt (Federal/ National Govt.) | 27,776.793 | - | 30,439.964 | - | 31,080.978 | - |
| Debt (corporate) | 992.285 | - | 846.468 | - | 952.129 | - |

❑ OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify): Central registry, on and off exchange transactions settlement, custody services, corporate actions processing

❑ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

- A new legislation on ZNVP-1 that stipulates the final phase of registry accounts disintegration encouraged holders of registry accounts to transfer their securities either to client accounts opened with KDD members or to a KAD joint special account (KAD = Kapitalska družba d.d., eng: Pension Fund Management). This way the number of registry accounts decreased further.
- In 2019, KDD operated successfully in the T2S environment and adjusted its CRVP information system to correspond member reconciliation requirements according to the EU Directive 909/2014.
- The process of adaptation of KDD operations to the EU directive and related regulative technical standards had been ongoing since March 2017 and in September 2019 resulted in KDD having been granted CSDR license by Slovenian Securities Market Agency.

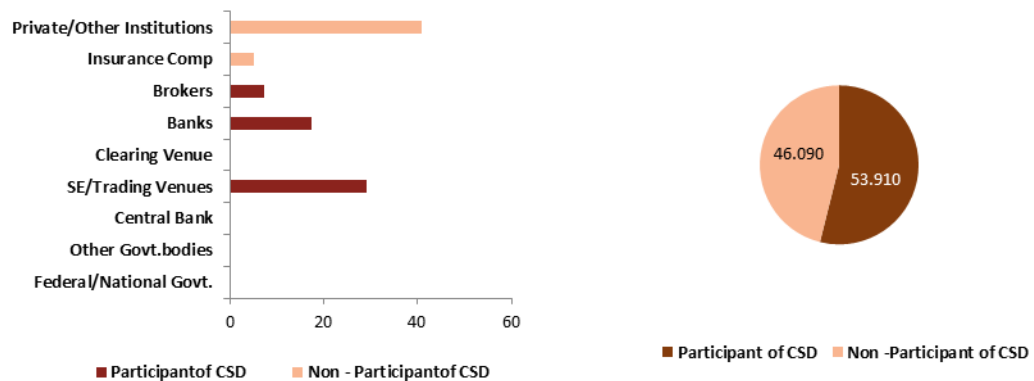
❑ BASIC INFORMATION

- **Regional Association:** AMEDA
- **LEI Number:** 029200067A7K6CH0H586
- **Local Currency:** Nigerian Naira (NGN)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI. CSCS is owned by the Nigerian Stock Exchange (29.7% equity interest), leading Nigerian Banks, Private Equity Firms, institutional Investors and other shareholders.

- Shareholding Pattern (in %)



- Shares of CSD or Holding Company are traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner (Omnibus accounts can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution

- CSD settles in Central Bank money

- **Type of Participants**

- o **Domestic**

- o Custodian (12), Non-custodian Banks (19), Brokers (183), Asset Managers (4), Others (18)

FULL TIME EMPLOYEES: 123 (AS ON 31-Dec-19)

ANNUAL REVENUE

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | - | 14,998.792 | 12,742.189 |
| Other Income | - | 14,584.547 | 17,245.238 |
| | - | 29,583.339 | 29,987.427 |

LINKS WITH OTHER CSDs

- CSD has no links with other CSD

STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | | As on 31-Dec-18 | | As on 31-Dec-19 | |
|---------------------------------------|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | - | | 181,794 | | 135,705 | |
| Omnibus Accounts | - | | 2 | | 694 | |
| Number of Participants | | | | | | |
| Domestic Participants | - | | 237 | | 236 | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | - | - | 11 | - | 202 | - |
| CIV | - | - | - | - | 18 | - |
| Debt (Federal/ National Govt.) | - | - | 29 | - | 139 | - |
| Debt (Other Govt. bodies) | - | - | 5 | - | 27 | 1 |
| Debt (corporate) | - | - | 15 | - | 30 | - |
| Others | - | - | 32 | - | - | - |

in USD (in millions i.e., '000000)

| Conversion Rate | - | 307.000 | 307.000 | | | |
|--|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | - | 1.032 | 0.887 | | | |
| Value of Instructions | - | 4,020.550 | 3,765.542 | | | |
| Corporate Action Events (During the year) | | | | | | |
| Value of Corporate action | - | 4,020.550 | 3,765.542 | | | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | - | - | 33,806.065 | - | 40,315.674 | - |
| CIV | - | - | - | - | 265.896 | - |
| Debt (Federal/ National Govt.) | - | - | 246.907 | - | 5,098.387 | - |
| Debt (Other Govt. bodies) | - | - | 817.058 | - | 1,372.869 | 36.910 |
| Debt (corporate) | - | - | 961.989 | - | 2,441.621 | - |

OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services

- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify)

MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

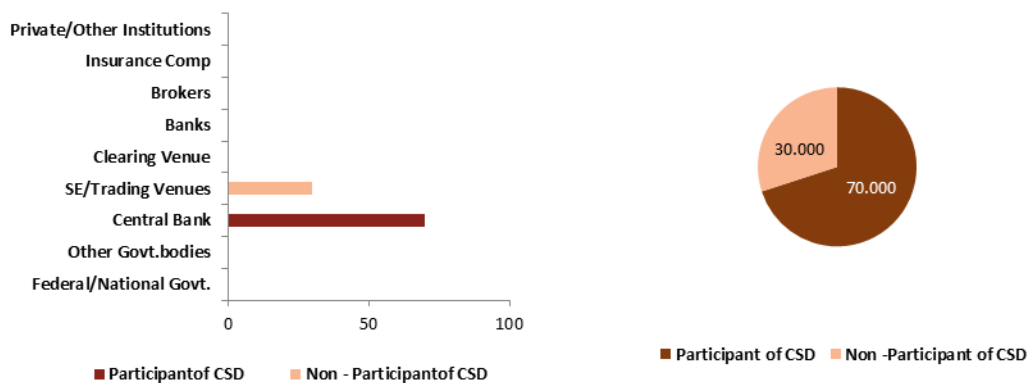
Launch of our Mobile App, A+ rating by Thomas Murray Data Service, Deployment of an AI-led technology platform for interfacing with the Registrars Participants, Website overhaul, Introduction of Secured Paper for Investor's Statement of Account and ISO 27001 Recertification.

❑ BASIC INFORMATION

- Regional Association: AMEDA
- Local Currency: Ghanaian cedi (GHS)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Central Bank
- Shareholding Pattern (in %)



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- Principal Account structure: Beneficial Owner (Omnibus accounts can also be opened)
- Financial Instruments accepted for deposit and/or settlement:
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- Financial Instruments held in
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD settles in Central Bank money
- Type of Participants
 - o Domestic
 - Custodian (15), Non-custodian Banks (8), Brokers (23), Others (5)

FULL TIME EMPLOYEES: 32 (AS ON 31-Dec-19)

ANNUAL REVENUE

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 10,483.931 | 6,860.613 | 5,744.231 |
| Other Income | 1,478.633 | 1,377.381 | 1,536.930 |
| | 11,962.564 | 8,237.995 | 7,281.161 |

LINKS WITH OTHER CSDs

- CSD has no links with other CSD

STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | | As on 31-Dec-18 | | As on 31-Dec-19 | |
|---------------------------------------|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 976,955 | | 972,497 | | 1,182,158 | |
| Omnibus Accounts | 4,458 | | 4,458 | | 6,465 | |
| Number of Participants | | | | | | |
| Domestic Participants | 72 | | 51 | | 51 | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 47 | - | 49 | - | 40 | - |
| CIV | 1 | - | 1 | - | 1 | - |
| Debt (Federal/ National Govt.) | 149 | 4 | 111 | - | 119 | - |
| Debt (Other Govt. bodies) | 104 | - | 25 | - | 21 | - |
| Debt (corporate) | 120 | - | 95 | - | 97 | - |

in USD (in millions i.e., '000000)

| Particulars | As on 31-Dec-17 | | As on 31-Dec-18 | | As on 31-Dec-19 | |
|--|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Conversion Rate | 4.572 | | 4.200 | | 5.534 | |
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 0.135 | | 0.111 | | 0.143 | |
| Value of Instructions | 37,291.408 | | 50,908.842 | | 46,904.997 | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | 0.001 | | 0.001 | | 0.001 | |
| Value of Corporate action | 31,568.944 | | 34,361.496 | | 28,077.549 | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 3,049.470 | - | 3,504.850 | - | 2,221.343 | - |
| CIV | 0.044 | - | 0.046 | - | 0.118 | - |
| Debt (Federal/ National Govt.) | 14,588.623 | 316.571 | 14,924.289 | - | 14,728.249 | - |
| Debt (Other Govt. bodies) | 45,982.438 | - | 2,812.668 | - | 2,256.779 | - |
| Debt (corporate) | 1,327.360 | - | 1,552.611 | - | 1,247.482 | - |

OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform

- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify)

MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

- CSD (GH) Limited completed its Self-Assessment exercise of the CPMI-IOSCO Principles for Financial Market Infrastructures in November, 2019.
- The CSD officially became a member of SWIFT, with its own BIC, in March 2019. The CSD, in furtherance of its strategic vision to be a leading provider of efficient and reliable post trade services in the financial sector in Ghana and to improve market access to investors, engaged with SWIFT during the year in a project to address gaps and challenges in its current infrastructure by implementing international best practice and standards in communications.
- In 2019, the Bank of Ghana finalized the Guideline for Repurchase Agreements in Ghana to facilitate repo transactions under the Global Master Repurchase Agreement. As a result, the Depository enhanced its repo platform to facilitate the permissible Repo transactions - repo, sell/buy back, outlined in the Guidelines for Repurchase Agreements in Ghana.

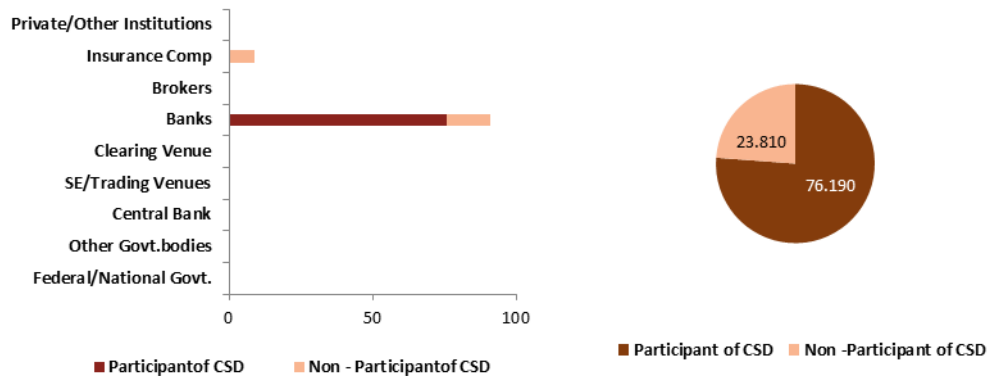


❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **LEI Number:** 485100QFMHAHL4B90L28
- **Local Currency:** Macedonian Denar (MKD)

❑ OWNERSHIP (AS ON 31-Dec-19)

- The CSD is owned by brokerage houses and banks
- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner (Omnibus accounts can also be opened)

- Financial Instruments accepted for deposit and/or settlement:

- Equities
- Collective Investment Vehicles
- Government Debt
- Corporate Debt
- Others

- Financial Instruments held in

- Dematerialized form** Equity, Government Debt, Corporate Debt
- Immobilized form** -

- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD settles in Central Bank money
- **Type of Participants**



- Domestic
Custodian (4), Non-custodian Banks (2), Brokers (5)

FULL TIME EMPLOYEES: 18 (AS ON 31-Dec-19)

ANNUAL REVENUE

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 762.263 | 937.590 | 824.195 |
| Other Income | 20.528 | 20.153 | 17.688 |
| | 782.791 | 957.743 | 841.883 |

LINKS WITH OTHER CSDs

- CSD has no links with other CSD

STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|---------------------------------------|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 75,312 | 67,686 | 65,130 | | | |
| Omnibus Accounts | 4 | 13 | 15 | | | |
| Number of Participants | | | | | | |
| Domestic Participants | 11 | 11 | 11 | | | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 517 | - | 500 | - | 483 | - |
| Debt (Federal/ National Govt.) | 201 | - | 190 | - | 176 | - |
| Debt (corporate) | 1 | - | 1 | - | 4 | - |

in USD (in millions i.e., '000000)

| Conversion Rate | 51.198 | 53.689 | 54.952 | | | |
|--|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 0.017 | 0.026 | 0.020 | | | |
| Value of Instructions | 248.127 | 711.770 | 267.707 | | | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | 0.000 | 0.000 | 0.000 | | | |
| Value of Corporate action | 979.936 | 1,025.653 | 832.657 | | | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 4,157.986 | - | 3,962.771 | - | 3,885.205 | - |
| CIV | - | - | - | - | - | - |
| Debt (Federal/ National Govt.) | 1,887.062 | - | 1,876.652 | - | 1,996.131 | - |
| Debt (corporate) | 1.201 | - | 1.136 | - | 13.994 | - |

OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services



- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify): -

❑ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

- During 2019, new membership types were introduced: custodian members and OTC members. Custodian members started to participate in settlement on a cash leg of a transactions. CSD amended Risk Management Strategy as a top document of Risk Management framework.

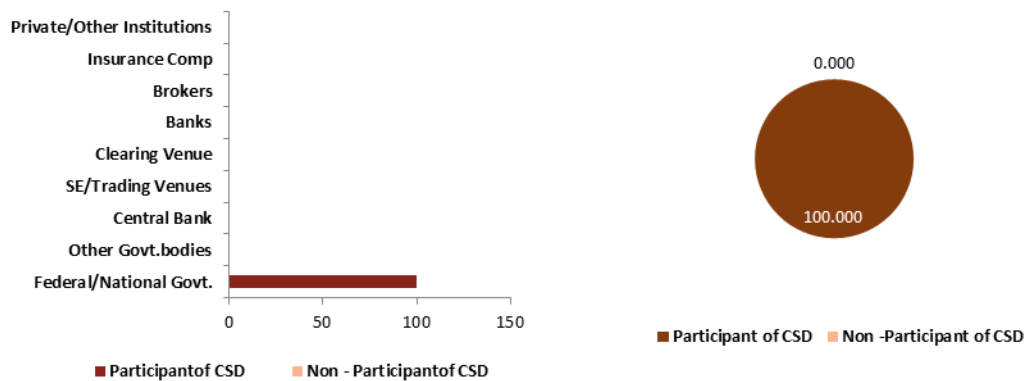
❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **Local Currency:** Serbian Dinar (RSD)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD and CH of Serbia is owned by Republic of Serbia and regulated by Securities Commission.

- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner (Omnibus accounts can also be opened)

- **Financial Instruments accepted for deposit and/or settlement:**

- Equities
- Collective Investment Vehicles
- Government Debt
- Corporate Debt
- Others

- **Financial Instruments held in**

- Dematerialized form** Equity, Government Debt, Corporate Debt
- Immobilized form** -

- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD settles in Central Bank money

- **Type of Participants**

o **Domestic**

Custodian (6), Non-custodian Banks (18), Brokers (15), Others (2)

FULL TIME EMPLOYEES: 32 (AS ON 31-Dec-19)

ANNUAL REVENUE

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 1,336.816 | 1,140.531 | 1,586.670 |
| Other Income | 246.687 | 211.410 | 238.170 |
| | 1,583.503 | 1,351.941 | 1,824.841 |

LINKS WITH OTHER CSDs

- **CSD has no links with other CSD**

STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|---------------------------------------|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 8,432,508 | 7,764,092 | 7,733,721 | | | |
| Omnibus Accounts | 407 | 405 | 317 | | | |
| Number of Participants | | | | | | |
| Domestic Participants | 49 | 46 | 41 | | | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 1,538 | - | 1,449 | - | 1,316 | - |
| Debt (Federal/ National Govt.) | 87 | - | 72 | - | 58 | - |
| Debt (Other Govt. bodies) | 8 | - | 8 | - | 7 | - |
| Debt (corporate) | 79 | - | 15 | - | 13 | - |

in USD (in millions i.e., '000000)

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|--|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Conversion Rate | 99.109 | 99.295 | 99.475 | | | |
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 0.200 | 0.182 | 0.178 | | | |
| Value of Instructions | 67,585.611 | 68,376.319 | 72,742.590 | | | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | 0.004 | 0.001 | 0.000 | | | |
| Value of Corporate action | 18,343.659 | 11,502.002 | 13,328.537 | | | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 13,974.952 | - | 13,513.252 | - | 13,608.638 | - |
| Debt (Federal/ National Govt.) | 12,276.152 | - | 4.482 | - | 94.436 | - |
| Debt (Other Govt. bodies) | 5,127.919 | - | 0.544 | - | 0.543 | - |
| Debt (corporate) | 74.393 | - | 26.587 | - | 36.381 | - |

OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services

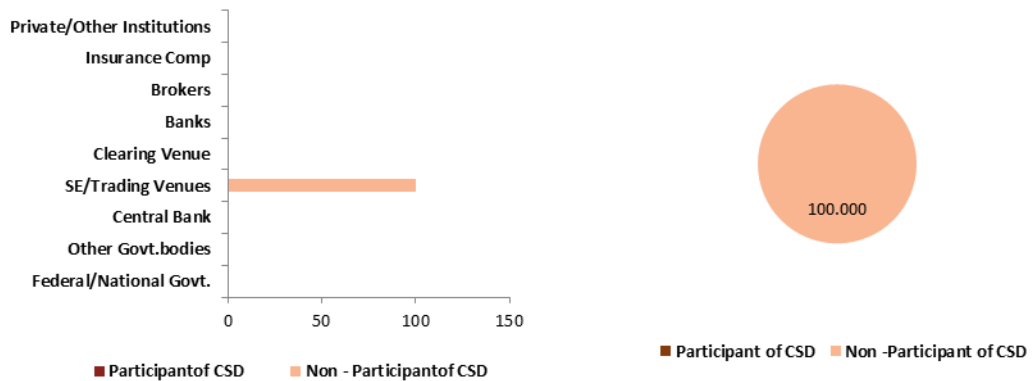
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify)

❑ BASIC INFORMATION

- **Regional Association:** AMEDA
- **Local Currency:** Botswanan Pula (BWP)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **CSD is owned or controlled by Stock Exchange**
- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are not traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure: Beneficial Owner**
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Corporate Debt, Others
 - Immobilized form** -
- **CSD or its group company does not have banking license**
- **CSD has DVP solution**
- **CSD uses external Commercial Bank money (CoBM) for settlement**
- **Type of Participants**
 - **Domestic**
 - Custodian (3), Brokers (4), Others (1)

- Non-domestic
Others (1)

❑ FULL TIME EMPLOYEES: 5 (AS ON 31-Dec-19)

❑ ANNUAL REVENUE

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|-------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 701.964 | 499.325 | 496.382 |
| Other Income | - | 10.390 | 1.596 |
| | 701.964 | 509.715 | 497.978 |

❑ LINKS WITH OTHER CSDs

- CSD has no links with other CSD

❑ STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|---------------------------------------|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 90,329 | 90,828 | 94,051 | | | |
| Number of Participants | | | | | | |
| Domestic Participants | 11 | 9 | 8 | | | |
| Non-domestic Participants | 1 | - | 1 | | | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 28 | 8 | 28 | - | 25 | - |
| Debt (Federal/ National Govt.) | 5 | - | - | - | - | - |
| Debt (corporate) | 38 | - | 41 | - | 36 | - |

in USD (in millions i.e., '000000)

| Particulars | 2017 | 2018 | 2019 | | | |
|--|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Conversion Rate | 9.872 | 11.386 | 11.386 | | | |
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 0.016 | 0.010 | 0.008 | | | |
| Value of Instructions | 531.074 | 376.579 | 352.590 | | | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | 0.000 | 0.000 | 0.000 | | | |
| Value of Corporate action | 154.786 | 15.234 | 55.850 | | | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 4.498 | 2.988 | 1,135.517 | 8.621 | 1,105.174 | 85.224 |
| Debt (Federal/ National Govt.) | 0.922 | - | - | - | - | - |
| Debt (corporate) | 0.527 | - | 371.117 | - | 370.406 | - |
| Others | - | - | - | 0.673 | - | 0.640 |

❑ OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform

- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify): -

MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

Procurement of a new CSD system that will enable CSDB to provide new modules like E-voting, Securities Borrowing and Lending and settling with Central Bank money.

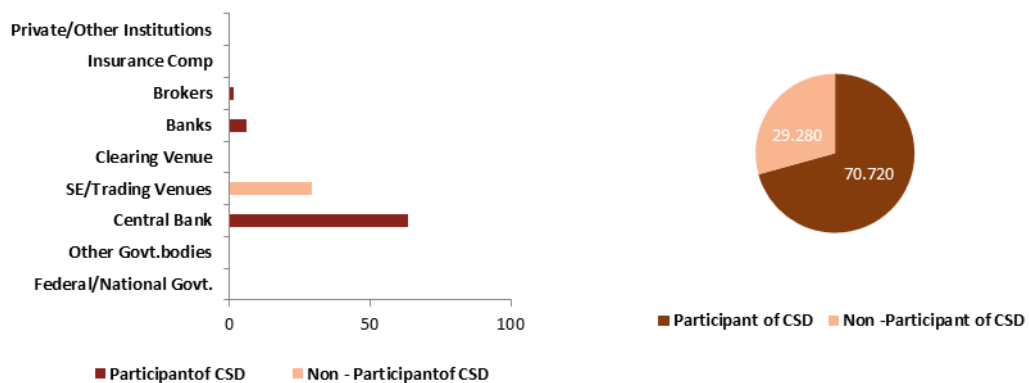
❑ BASIC INFORMATION

- **Regional Association:** ACG, AECSD
- **Primary Regional Association:** AECSD
- **LEI Number:** 253400B69B5AY7PVCR49
- **Local Currency:** Kazakhstani Tenge (KZT)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Central Bank

- Shareholding Pattern (in %)



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure: Beneficial Owner (Omnibus accounts can also be opened)**
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- CSD or its group company have banking license
- CSD has DVP solution
- CSD settles in Central Bank money

- Type of Participants

- **Domestic**
Custodian (10), Non-custodian Banks (12), Brokers (21)
- **Non-domestic**
Non-custodian Banks (1), Brokers (11)

☐ FULL TIME EMPLOYEES: 119 (AS ON 31-Dec-19)

☐ ANNUAL REVENUE

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 3,608.442 | 3,772.051 | 5,631.670 |
| Other Income | 662.375 | 657.891 | 902.605 |
| | 4,270.817 | 4,429.942 | 6,534.275 |

☐ LINKS WITH OTHER CSDs

- **CSD has links with other CSD**
 - **Number of Links with other CSDs - 7**
 - Only Inbound – 1 (Only Direct)
 - Only Outbound – 3 (Only Direct)
 - Both Inbound and Outbound – 3 (Only Direct)
 - **Purpose of Links with other CSDs**
 - Only FOP – 4 (Only Direct)
 - Both DVP & FOP - 3 (Only Direct)

☐ STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | | As on 31-Dec-18 | | As on 31-Dec-19 | |
|---------------------------------------|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 115,387 | | 120,656 | | 121,026 | |
| Omnibus Accounts | 108 | | 106 | | 113 | |
| Number of Participants | | | | | | |
| Domestic Participants | 48 | | 46 | | 43 | |
| Non-domestic Participants | 12 | | 12 | | 12 | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 342 | 39 | 2,045 | 40 | 2,301 | 68 |
| CIV | 10 | 5 | 30 | 4 | 47 | 3 |
| Debt (Federal/ National Govt.) | 152 | 3 | 191 | 4 | 172 | 6 |
| Debt (Other Govt. bodies) | 89 | - | 51 | - | 46 | - |
| Debt (corporate) | 399 | 32 | 413 | 56 | 445 | 272 |
| Others | - | - | 9 | - | 32 | - |

in USD (in millions i.e., '000000)

| Conversion Rate | 332.899 | 380.440 | 381.180 |
|--|---------------|-------------|-------------|
| Settlement Instruction (During the year) | | | |
| Number of Instructions | 0.288 | 0.281 | 0.244 |
| Value of Instructions | 1,272,341.784 | 858,313.907 | 582,072.873 |
| Corporate Action Events (During the year) | | | |
| Number of Events handled by CSD | 0.001 | 0.001 | 0.001 |
| Value of Corporate action | 190,115.004 | 166,238.721 | 96,832.861 |
| Value on Deposit | | | |

| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
|--------------------------------|------------|---------|----------|---------|----------|---------|
| Equities | 26,363.630 | 263.858 | 0.032 | - | 0.129 | - |
| CIV | 28.259 | 25.448 | - | - | - | - |
| Debt (Federal/ National Govt.) | 438.081 | 422.098 | 0.025 | 0.001 | 0.028 | 0.001 |
| Debt (Other Govt. bodies) | 28,805.891 | - | - | - | 0.001 | - |
| Debt (corporate) | 10,085.363 | 574.608 | 0.012 | - | 0.013 | 0.003 |

OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify): Registrar Services

MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

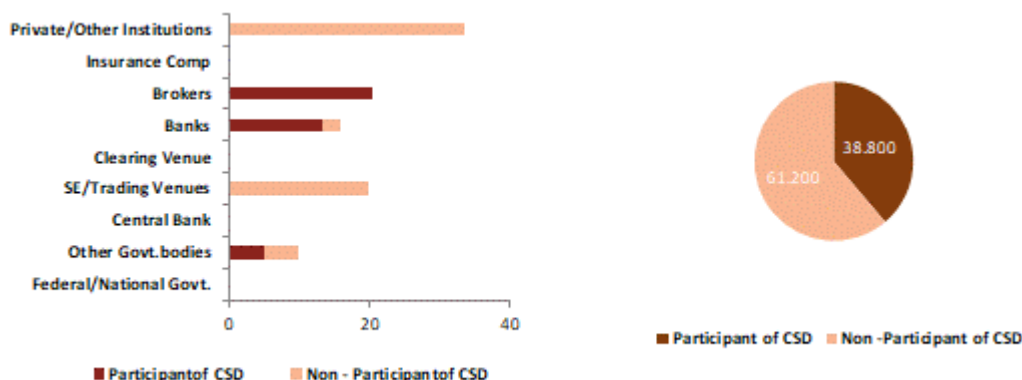
- For electronic interchange of documents with its clients the Central Securities Depository has developed and launched Doc. KACD, Issuer and Holder web-applications. Via user cabinets the clients can interchange electronic documents with the Central Securities Depository, send orders, receive statements, securities holder registers, reports and other informational services
- In compliance with the Law of the Republic of Kazakhstan "On Joint-stock Companies" the function of unclaimed money accounting is allocated to the Central Securities Depository in case of absence of information on shareholder's details in the securities holders register system or joint-stock company
- The Central Securities Depository has completed development of its information systems due to introduction of trading-clearing system KASE ASTS+;
- OTC quotation system has been launched. It is online service for sending and viewing offers by clients on purchase/sale of financial instruments.

❑ BASIC INFORMATION

- **Regional Association:** ACG
- **Local Currency:** Iranian Rial (IRR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI.**
- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are not traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure: Beneficial Owner**
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
- **CSD or its group company does not have banking license**
- **CSD has no DVP solution**
- **Type of Participants**
 - **Domestic**
Non-custodian Banks (16), Brokers (108), Asset Managers (5)

FULL TIME EMPLOYEES: 207 (AS ON 31-Dec-19)

ANNUAL REVENUE

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|-------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 9,405.308 | 19,592.357 | 52,471.929 |
| Other Income | 7,609.805 | 15,915.000 | 17,276.619 |
| | 17,015.113 | 35,507.357 | 69,748.548 |

LINKS WITH OTHER CSDs

- CSD does not have links with other CSD

STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|---------------------------------------|-----------------|-----------------|-----------------|---------|----------|---------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 10,483,029 | 9,948,177 | 46,971,589 | | | |
| Number of Participants | | | | | | |
| Domestic Participants | 112 | 130 | 129 | | | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 783 | - | 428 | - | 629 | - |
| CIV | 29 | - | 61 | - | 207 | - |
| Debt (Federal/ National Govt.) | 37 | - | 42 | - | 64 | - |
| Debt (Other Govt. bodies) | 1 | - | 1 | - | 15 | - |
| Debt (corporate) | 17 | - | 23 | - | 22 | - |
| Others | 203 | - | 66 | - | - | - |

in USD (in millions i.e., '000000)

| Conversion Rate | 36,092.385 | 42,000.000 | 42,000.000 | | | |
|--|-------------|------------|------------|---------|-------------|---------|
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 25.544 | - | - | | | |
| Value of Instructions | 16,026.659 | 13,772.381 | 53,268.810 | | | |
| Corporate Action Events (During the year) | | | | | | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 125,545.940 | - | 0.699 | - | 584,917.762 | - |
| CIV | 94.729 | - | 0.096 | - | 49,025.119 | - |
| Debt (Federal/ National Govt.) | 15,937.372 | - | - | - | 20,993.857 | - |
| Debt (Other Govt. bodies) | 41.560 | - | - | - | 1,285.714 | - |
| Debt (corporate) | 1,725.849 | - | - | - | 1,690.952 | - |
| Others | 871.964 | - | 0.002 | - | - | - |

OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform

- Funds Order Routing Platform
- None of the above
- Others (Please specify):
 - e-KYC
 - Risk Management (Credit Limit, Settlement Guarantee Fund, etc.)
 - Corporate Action (Dividend Distribution, Pledging, Legal transfer, Right Issuance, Capital Increase)
 - Value added services (e-Services to investors, issuers, brokers, Government Service Counters)
 - Post-trade services for commodity exchanges (IRENEX and IME)
 - Data Reporting (to different national and international organizations and beneficiaries)

MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

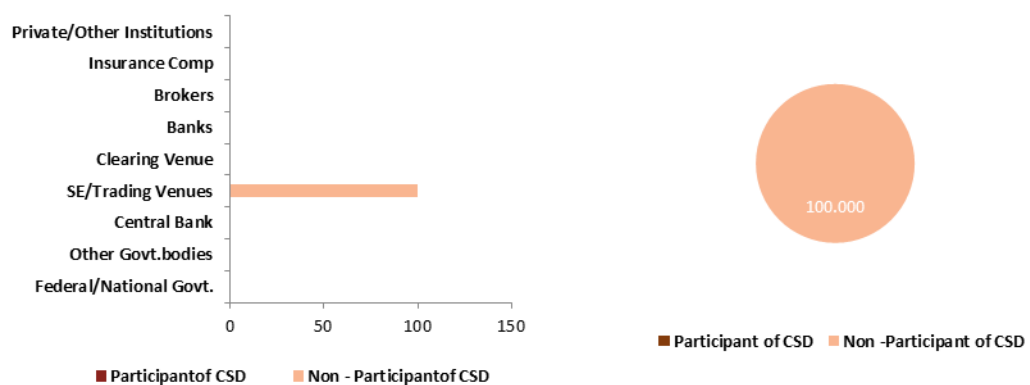
- Central Securities Depository of Iran has inaugurated launch of Iran Energy Exchange Integrated Settlement System in a ceremony attended by high-ranking representatives of the Iran capital market.
- Energy Exchange Integrated Settlement System aka ENEXIS has been launched on 11 March, 2019 at CSDI's headquarters in Tehran.
- CSDI unveils Investor's Platform at the international Elecomp 2019 Exhibition with Economy Minister, Farhad Dejjpasand, in attendance.
- CSDI launches comprehensive e-system for cash dividend distribution
- CSDI active participation at banking & investment exhp0 (invex 2019) in kish
- Over 2.5 million shareholders registered in CSDI new system of KYC, CIGS

❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **LEI Number:** 097900BEFH0000000217
- **Local Currency:** Euro (EUR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **CSD is owned or controlled by Stock Exchange**
- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are not traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure: Beneficial Owner (Omnibus accounts can also be opened)**
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- **CSD or its group company does not have banking license**
- **CSD has DVP solution**
- **CSD settles in Central Bank money**

- Type of Participants

- **Domestic**
Custodian (11), Non-custodian Banks (3), Brokers (3), Others (3)
- **Non-domestic**
Custodian (3), Others (3)

☐ **FULL TIME EMPLOYEES: 66 (AS ON 31-Dec-19)**

☐ **ANNUAL REVENUE**

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 10,097.619 | 8,931.374 | 9,589.657 |
| Other Income | 1,623.810 | 1,106.428 | 134.797 |
| | 11,721.429 | 10,037.802 | 9,724.453 |

☐ **LINKS WITH OTHER CSDs**

- **CSD has links with other CSD**
 - **Number of Links with other CSDs - 4**
 - Only Inbound – 4 (Only Direct)
 - **Purpose of Links with other CSDs**
 - Only FOP – 1(Only Direct)
 - Both DVP & FOP - 3 (Only Direct)

☐ **STATISTICS & VOLUME**

| Particulars | As on 31-Dec-17 | | As on 31-Dec-18 | | As on 31-Dec-19 | |
|---------------------------------------|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 238,220 | | 221,709 | | 209,332 | |
| Omnibus Accounts | 39 | | 40 | | 42 | |
| Number of Participants | | | | | | |
| Domestic Participants | 19 | | 19 | | 20 | |
| Non-domestic Participants | 3 | | 6 | | 6 | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 1,985 | - | 1924 | - | 1,888 | - |
| CIV | 7 | - | 7 | - | 7 | - |
| Debt (Federal/ National Govt.) | 19 | - | 19 | - | 17 | - |
| Debt (Other Govt. bodies) | 7 | - | 7 | - | 7 | - |
| Debt (corporate) | 504 | - | 526 | - | 534 | - |

in USD (in millions i.e., '000000)

| Particulars | As on 31-Dec-17 | | As on 31-Dec-18 | | As on 31-Dec-19 | |
|--|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Conversion Rate | 0.833 | | 0.850 | | 0.890 | |
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 0.015 | | 0.020 | | 0.031 | |
| Value of Instructions | 76,297.858 | | 46,792.847 | | 38,738.304 | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | 252 | | 298 | | 262 | |
| Value of Corporate action | 7,952.671 | | 6,282.250 | | 4,987.363 | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 48,671.048 | - | 47,699.147 | - | 44,849.758 | - |
| CIV | 4.020 | - | 3.941 | - | 3.819 | - |
| Debt (Federal/ National | 43,059.471 | - | 40,944.688 | - | 36,339.935 | - |

| | | | | | | |
|---------------------------|------------|---|------------|---|------------|---|
| Govt.) | | | | | | |
| Debt (Other Govt. bodies) | 4.640 | - | 4.549 | - | 4.381 | - |
| Debt (corporate) | 13,544.258 | - | 16,707.403 | - | 21,089.831 | - |

OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify)

MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

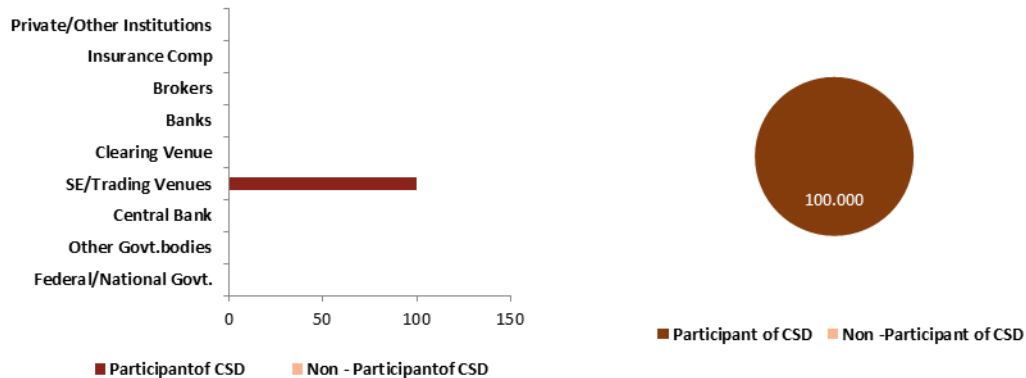
The CSD license in compliance with CSDR was granted in 2019

❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **LEI Number:** 315700LK78Z7C0WMIL03
- **Local Currency:** Czech Republic Koruna (CZK)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **CSD is owned or controlled by Stock Exchange**
- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are not traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure: Beneficial Owner (Omnibus accounts can also be opened)**
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- **CSD or its group company does not have banking license**
- **CSD has DVP solution**
- **CSD offers both Commercial Bank money and Central Bank money for settlement**
- **Type of Participants**

- **Domestic**
Custodian (13), Non-custodian Banks (1), Brokers (5), Others (3)
- **Non-domestic**
Custodian (4), Brokers (1)

❑ **FULL TIME EMPLOYEES: 46 (AS ON 31-Dec-19)**

❑ **ANNUAL REVENUE**

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 17,993.429 | 17,253.118 | 17,202.506 |
| Other Income | 140.941 | - | - |
| | 18,134.370 | 17,253.118 | 17,202.506 |

❑ **LINKS WITH OTHER CSDs**

- **CSD has links with other CSD**
 - **Number of Links with other CSDs - 3**
 - Only Inbound – 1 (Only Direct)
 - Both Inbound and Outbound – 2 (Only Direct)
 - **Purpose of Links with other CSDs**
 - Only FOP – 1 (Only Direct)
 - Both DVP & FOP - 2 (Only Direct)

❑ **STATISTICS & VOLUME**

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|---------------------------------------|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 1,289,612 | 1,191,518 | 938,841 | | | |
| Omnibus Accounts | 13 | 16 | 20 | | | |
| Number of Participants | | | | | | |
| Domestic Participants | 22 | 20 | 22 | | | |
| Non-domestic Participants | 3 | 4 | 5 | | | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 2,635 | 1 | 2,849 | 43 | 2,906 | 43 |
| CIV | 15 | - | 12 | - | 12 | - |
| Debt (Federal/ National Govt.) | 207 | - | 97 | - | 87 | - |
| Debt (Other Govt. bodies) | 2 | - | 1 | - | 1 | - |
| Debt (corporate) | 662 | - | 760 | - | 666 | - |
| Others | 107 | - | 26 | 100 | 30 | 87 |

in USD (in millions i.e., '000000)

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|--|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Conversion Rate | 21.286 | 23.738 | 23.378 | | | |
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 1.337 | 1.250 | 1.300 | | | |
| Value of Instructions | 260,619.038 | 153,400.228 | 204,094.466 | | | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | 0.000 | 0.000 | 0.000 | | | |
| Value of Corporate action | 35.000 | 16.640 | 16.939 | | | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 58,465.115 | 434.708 | 51,481.234 | 1,331.116 | 51,069.526 | 942.437 |
| CIV | 196.377 | - | 180.260 | - | 186.503 | - |

| | | | | | | |
|--------------------------------|------------|---|------------|-------|------------|--------|
| Debt (Federal/ National Govt.) | 63,886.117 | - | 60,039.464 | - | 62,060.984 | - |
| Debt (Other Govt. bodies) | 234.901 | - | 210.633 | - | 213.879 | - |
| Debt (corporate) | 13,077.183 | - | 11,822.409 | - | 12,527.195 | - |
| Others | 276.573 | - | 222.302 | 5.729 | 326.850 | 11.849 |

❑ OTHER SERVICES (AS ON 31-Dec-19)

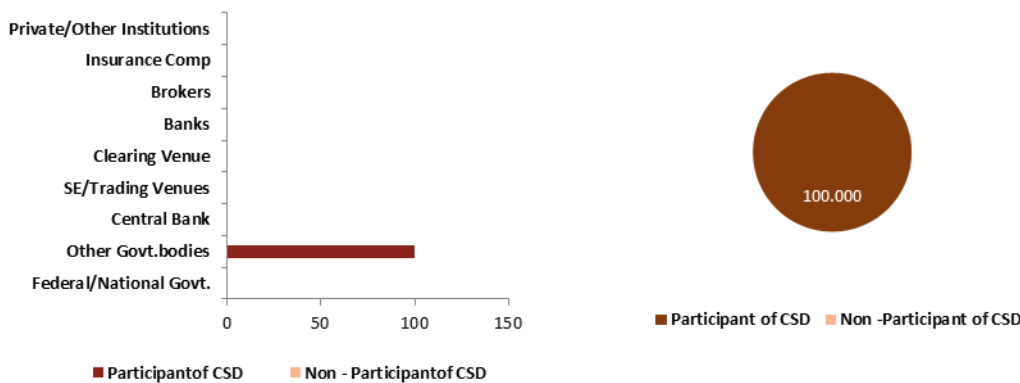
- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify): -

❑ BASIC INFORMATION

- **Regional Association:** ACG
- **LEI Number:** 3003003IRW6SZBF1PB90
- **Local Currency:** Chinese Yuan (CNY)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **CCDC is 100% owned by Ministry of Finance.**
- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are not traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure: Beneficial Owner**
- **Financial Instruments accepted for deposit and/or settlement.**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Government Debt, Corporate Debt, Others
 - Immobilized form** Government Debt, Corporate Debt, Others
- **CSD or its group company does not have banking license**
- **CSD has DVP solution**
- **CSD settles in Central Bank money**

- **Type of Participants**
 - **Domestic**
Others (23277)
 - **Non-domestic**
Others (1120)

□ LINKS WITH OTHER CSDs

- **CSD has links with other CSD**
 - **Number of Links with other CSDs - 2**
 - Only Inbound – 1 (Only Direct)
 - Both Inbound and Outbound – 1 (Only Direct)
 - **Purpose of Links with other CSDs**
 - Only DVP – 1 (Only Direct)
 - Only FOP – 1 (Only Direct)

□ STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|---------------------------------------|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 18,741 | 20,345 | 24,397 | | | |
| Number of Participants | | | | | | |
| Domestic Participants | 18,123 | 19,576 | 23,277 | | | |
| Non-domestic Participants | 618 | 769 | 1,120 | | | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Debt (Federal/ National Govt.) | 152 | - | 250 | - | 249 | - |
| Debt (Other Govt. bodies) | 1,751 | - | 4,213 | - | 5,039 | - |
| Debt (corporate) | 1,018 | - | 4,692 | - | 4,992 | - |
| Others | - | - | 1 | 2 | 1 | 1 |

in USD (in millions i.e., '000000)

| | | | | | | |
|--|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Conversion Rate | 6.506 | 6.860 | 6.980 | | | |
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 2,096 | 3,822 | 4,842 | | | |
| Value of Instructions | 87,418,790.609 | 180,927,113.703 | 205,325,214.900 | | | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | 0.015 | 0.016 | 0.020 | | | |
| Value of Corporate action | 1,249,624.631 | 1,332,361.516 | 1,489,971.347 | | | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Debt (Federal/ National Govt.) | 1,435,737.868 | - | 2,093,562.205 | - | 2,307,249.656 | - |
| Debt (Other Govt. bodies) | 5,315,723.979 | - | 2,869,453.898 | - | 3,268,308.509 | - |
| Debt (corporate) | 484,400.503 | - | 3,434,706.706 | - | 3,732,328.516 | - |
| Others | - | - | 870.554 | 583.090 | 855.587 | 429.799 |

□ OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services

- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify): Issuance, registration, depository, settlement, principal & interest payment, etc.

MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

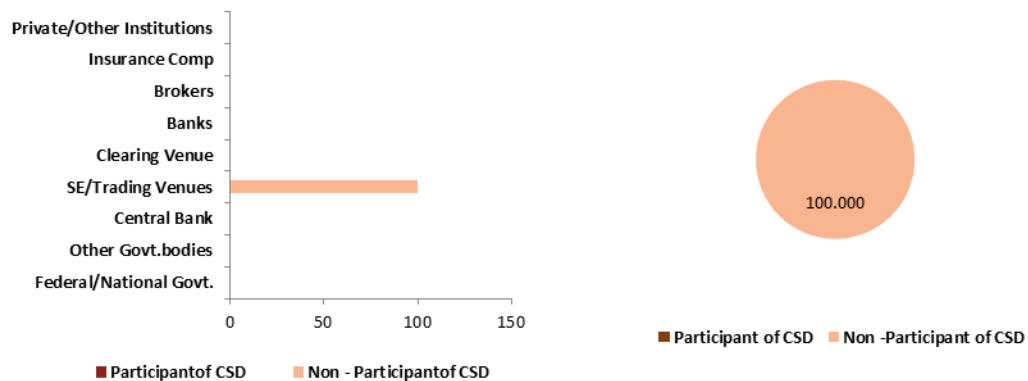
- CCDC collaborated with local FMI to enable the first CGB issuance of RMB 2 billion in Macao.
- CCDC pushed forward the mutual recognition of collateral between the two countries, and launched a Representative Office in UK in cooperation with China Banking Association.
- CCDC signed an MOU with Euroclear Bank.
- CCDC supported the issuance of the first bond listed both in Shanghai FTZ and the offshore market.
- CCDC launched the first mechanism to dispose collateral after default, based on which it also held the first auction of collateral in the event of default.
- CCDC was titled the Best Risk Management Service Provider of China Financial Market for 2019 in the “the Gold Medal Tally of the Chinese Financial Institution for 2019”: Golden Dragon Award & co-hosted by the Financial News and the NIFD.
- CCDC entered into an MOU with ICBC and SGX, with which it started to list indexes made in collaboration.
- CCDC collaborated with Tsinghua University to create China’s first Research Institute for Financial Information Technology Innovation.

❑ BASIC INFORMATION

- **Regional Association:** ACG
- **Local Currency:** Chinese Yuan (CNY)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **CSD is owned or controlled by Stock Exchange**
- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are not traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure: Beneficial Owner (Omnibus accounts can also be opened)**
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- **CSD or its group company does not have banking license**
- **CSD has DVP solution**
- **CSD uses external Commercial Bank money (CoBM) for settlement.**

- Type of Participants

- **Domestic**
Custodian (33), Brokers (116), Asset Managers (2), Others (42)
- **Non-domestic**
Custodian (8), Brokers (58)

□ FULL TIME EMPLOYEES: 1200 (AS ON 31-Dec-19)
□ LINKS WITH OTHER CSDs

- **CSD has links with other CSD**
 - **Number of Links with other CSDs - 3**
 - Both Inbound and Outbound – 1 (Only Direct)
 - Only Outbound – 1 (Only Indirect)
 - Both Inbound and Outbound –1 (Only Indirect)
 - **Purpose of Links with other CSDs**
 - Both DVP & FOP - 1 (Only Direct)
 - Only FOP – 2 (Only Indirect)

□ STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|---------------------------------------|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Number of Participants | | | | | | |
| Domestic Participants | - | 195 | 193 | | | |
| Non-domestic Participants | - | 66 | 66 | | | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | - | - | 3,669 | - | 3,861 | - |
| CIV | - | - | 917 | - | 1,014 | - |
| Debt (Federal/ National Govt.) | - | - | 268 | - | 340 | - |
| Debt (Other Govt. bodies) | - | - | 1,196 | - | 1,462 | - |
| Debt (corporate) | - | - | 11,294 | - | 14,108 | - |

in USD (in millions i.e., '000000)

| | | | | | | |
|--|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Conversion Rate | 6.506 | 6.878 | 6.963 | | | |
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | - | 12,379.659 | 17,969.994 | | | |
| Value of Instructions | - | 151.844 | 162.849 | | | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | - | 0.003 | 0.003 | | | |
| Value of Corporate action | - | 0.056 | 0.066 | | | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | - | - | 6.325 | - | 8.521 | - |
| CIV | - | - | 0.087 | - | 0.118 | - |
| Debt (Federal/ National Govt.) | - | - | 0.082 | - | 0.086 | - |
| Debt (Other Govt. bodies) | - | - | 0.067 | - | 0.087 | - |
| Debt (corporate) | - | - | 1.344 | - | 1.372 | - |

OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify)

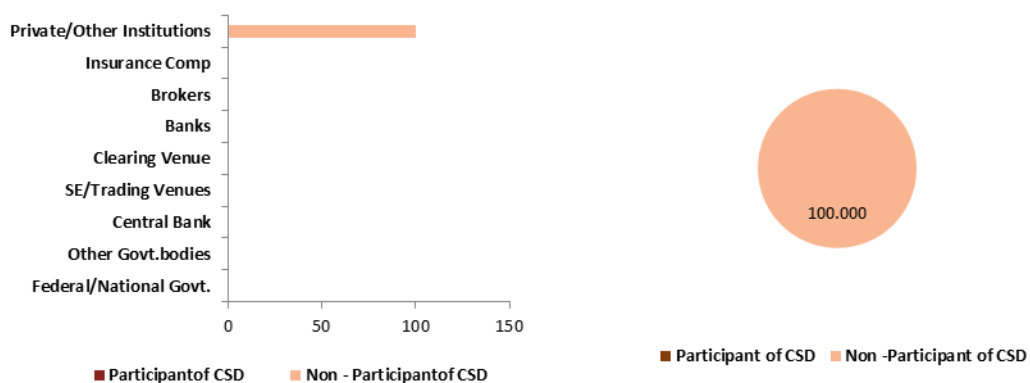
❑ BASIC INFORMATION

- **Regional Association:** AECSD
- **Local Currency:** Tajikistani Somoni (TJS)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI.**

- Shareholding Pattern (in %)



- **Shares of CSD or Holding Company are not traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure: Omnibus**
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Corporate Debt
 - Immobilized form** -
- **CSD or its group company does not have banking license**
- **CSD has DVP solution**
- **CSD uses external Commercial Bank money (CoBM) for settlement**

- **Type of Participants**

- **Domestic**
Brokers (1)

FULL TIME EMPLOYEES: 3 (AS ON 31-Dec-19)

ANNUAL REVENUE

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 1.541 | 8.696 | 105.603 |
| Other Income | - | - | - |
| | 1.541 | 8.696 | 105.603 |

LINKS WITH OTHER CSDs

- **CSD has links with other CSD**
 - **Number of Links with other CSDs - 1**
 - Only Outbound – 1 (Only Direct)
 - **Purpose of Links with other CSDs**
 - Only DVP – 1 (Only Direct)

STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|---------------------------------------|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Omnibus Accounts | 1 | 1 | 1 | | | |
| Number of Participants | | | | | | |
| Domestic Participants | 25 | 1 | 1 | | | |
| Non-domestic Participants | 1 | - | - | | | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | - | - | 1 | - | 42 | - |
| Debt (corporate) | 1 | - | 1 | - | 1 | - |

in USD (in millions i.e., '000000)

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|--|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Conversion Rate | 8.825 | 9.430 | 9.687 | | | |
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 23.000 | 0.000 | 0.000 | | | |
| Value of Instructions | 1.623 | 84.221 | 81.675 | | | |
| Corporate Action Events (During the year) | | | | | | |
| Value of Corporate action | 2.266 | 0.167 | 0.161 | | | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | - | - | 84.218 | - | 77.680 | - |
| Debt (corporate) | 2.266 | - | 2.121 | - | 3.995 | - |

OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services

- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify)

MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

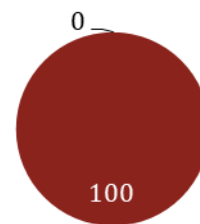
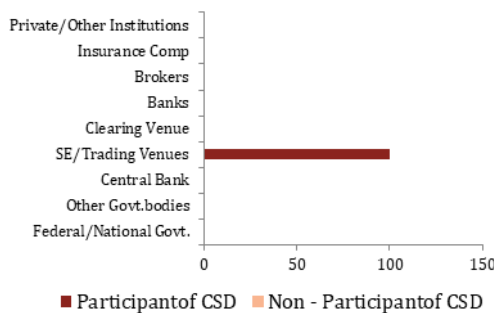
- Provided comments during the formation of the working group on the development of the government securities market, initiated by the Administration of the President of the Republic of Tajikistan.
- Organized the annual AECSD seminar.

❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **Local Currency:** Euro (EUR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **CSD is owned or controlled by Stock Exchange**
- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure: Beneficial Owner (Omnibus accounts can also be opened)**
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
- **CSD or its group company have banking license**
- **CSD has DVP solution**
- **CSD offers both Commercial Bank money and Central Bank money for settlement**

❑ FULL TIME EMPLOYEES: 328 (AS ON 31-Dec-19)

LINKS WITH OTHER CSDs

- CSD has links with other CSD

 STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 |
|---------------------------------------|-----------------|-----------------|-----------------|
| Number of accounts held by CSD | | | |
| Beneficial Owner Accounts | 575 | 1,866 | 1,907 |
| Omnibus Accounts | 282 | 2,193 | 2,404 |
| Number of Participants | | | |
| Domestic Participants | 157 | - | - |
| Non-domestic Participants | 145 | - | - |

| | in USD (in millions i.e., '000000) | | |
|--|------------------------------------|----------------|----------------|
| Conversion Rate | 0.833 | 0.851 | 0.850 |
| Settlement Instruction (During the year) | | | |
| Number of Instructions | - | 63.261 | 65.218 |
| Value of Instructions | - | 59,079,071.900 | 80,434,846.551 |
| Corporate Action Events (During the year) | | | |
| Number of Events handled by CSD | - | 0.036 | 0.036 |

 OTHER SERVICES (AS ON 31-Dec-19)

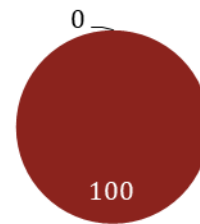
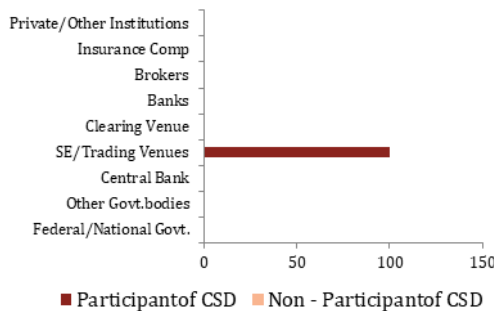
- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify)

❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **Local Currency:** Euro (EUR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **CSD is owned or controlled by Stock Exchange**
- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure: Beneficial Owner (Omnibus accounts can also be opened)**
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
- **CSD or its group company have banking license**
- **CSD has DVP solution**
- **CSD has banking license and offers Commercial Bank money settlement**

❑ FULL TIME EMPLOYEES: 1069 (AS ON 31-Dec-19)

LINKS WITH OTHER CSDs

- CSD has links with other CSD

 STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 |
|---------------------------------------|-----------------|-----------------|-----------------|
| Number of accounts held by CSD | | | |
| Beneficial Owner Accounts | 5,093 | 6,766 | 8,459 |
| Omnibus Accounts | 2,545 | 2,790 | 3,010 |
| Number of Participants | | | |
| Domestic Participants | 74 | - | - |
| Non-domestic Participants | 969 | - | - |

in USD (in millions i.e., '000000)

| Conversion Rate | 0.833 | 0.850 | 0.850 |
|--|-------|-----------------|-------|
| Settlement Instruction (During the year) | | | |
| Number of Instructions | - | 22.344 | - |
| Value of Instructions | - | 157,693,054.338 | - |
| Corporate Action Events (During the year) | | | |
| Number of Events handled by CSD | 0.110 | 0.109 | 0.116 |

 OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify)



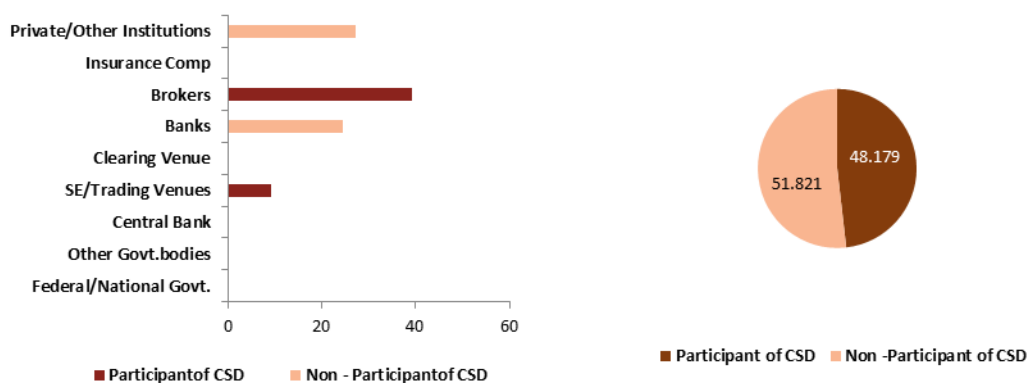
❑ BASIC INFORMATION

- **Regional Association:** AECSD
- **Local Currency:** Kyrgystani Som (KGS)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI. CDS was opened as a close joint stock company 18 shareholders they are financial companies

- Shareholding Pattern (in %)



- Shares of CSD or Holding Company are traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus (Beneficial Owner account can also be opened)

- Financial Instruments accepted for deposit and/or settlement:

- Equities
- Collective Investment Vehicles
- Government Debt
- Corporate Debt
- Others

- Financial Instruments held in

- Dematerialized form** Equity, Government Debt, Corporate Debt
- Immobilized form** Equity

- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD uses external Commercial Bank money (CoBM) for settlement



Closed joint stock company "Central depository"

www.cds.kg

Kyrgyzstan

- Type of Participants

- **Domestic**
Custodian (1), Non-custodian Banks (1), Brokers (22), Asset Managers (2), Others (33)
- **Non-domestic**
Custodian (4), Non-custodian Banks (2), Others (14)

❑ **FULL TIME EMPLOYEES: 7 (AS ON 31-Dec-19)**

❑ **ANNUAL REVENUE**

| | in USD (in thousands i.e., '000) | | |
|--------------------------------|----------------------------------|------------------------|------------------------|
| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
| Revenue from Operations | 41.969 | 44.760 | 26.392 |
| Other Income | 12.863 | 7.330 | 5.307 |
| | 54.832 | 52.090 | 31.699 |

❑ **LINKS WITH OTHER CSDs**

- **CSD has links with other CSD**
 - **Number of Links with other CSDs - 3**
 - Both Inbound and Outbound – 3 (Only Direct)
 - **Purpose of Links with other CSDs**
 - Both DVP & FOP - 3 (Only Direct)

❑ **STATISTICS & VOLUME**

| Particulars | As on 31-Dec-17 | | As on 31-Dec-18 | | As on 31-Dec-19 | |
|---------------------------------------|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Omnibus Accounts | 364 | | 364 | | 364 | |
| Number of Participants | | | | | | |
| Domestic Participants | 38 | | 46 | | 59 | |
| Non-domestic Participants | 11 | | 18 | | 20 | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 1,254 | 3 | 1,254 | 2 | 1,271 | 3 |
| Debt (Federal/ National Govt.) | 8 | 1 | 8 | - | 14 | - |
| Debt (Other Govt. bodies) | 3 | 1 | - | - | - | - |
| Debt (corporate) | 46 | 1 | 46 | - | 51 | - |

| in USD (in millions i.e., '000000) | | | | | | |
|--|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Conversion Rate | 68.956 | | 69.850 | | 84.795 | |
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 0.004 | | 0.004 | | 0.005 | |
| Value of Instructions | 64.892 | | 54.315 | | 69.275 | |
| Corporate Action Events (During the year) | | | | | | |
| Value of Corporate action | 1.138 | | 0.272 | | 0.440 | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 2.589 | 22.552 | 23.575 | 18.611 | 21.890 | 22.407 |
| Debt (Federal/ National Govt.) | 0.417 | 13.442 | 4.265 | - | 0.093 | - |
| Debt (corporate) | 3.618 | - | 5.321 | - | 0.547 | - |



OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify)

MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

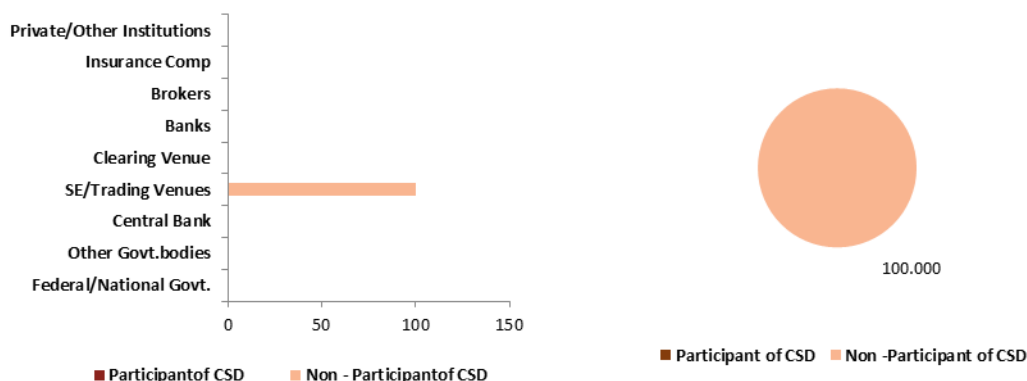
In the reporting period, portfolios of private pension funds of the Kyrgyz Republic were accepted for servicing. For the first time in Kyrgyzstan, mortgage-backed securities were issued. The CJSC "Central Depository" kept records and kept a register of mortgage coverage. September 5-6, 2019, a joint conference was held in Bishkek by the Association of Central Securities Depositories of Eurasia and the International Association of Exchanges entitled: Integration Processes in Financial Markets: Eurasia and the Global Economy; with the participation of executives and experts from the CIS countries and the global community.

❑ BASIC INFORMATION

- **Regional Association:** AMEDA
- **Local Currency:** Tanzanian Shilling (TZS)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **CSD is owned or controlled by Stock Exchange**
- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are not traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- **CSD or its group company does not have banking license**
- **CSD has DVP solution**
- **CSD settles in Central Bank money**
- **Type of Participants**
 - **Domestic**
Custodian (7), Brokers (14), Others (6)

FULL TIME EMPLOYEES: 12 (AS ON 31-Dec-19)
 ANNUAL REVENUE

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 0.000 | 603.811 | 658.042 |
| Other Income | - | 2.155 | 0.862 |
| | 0.000 | 605.966 | 658.905 |

 LINKS WITH OTHER CSDs

- **CSD has links with other CSD**
 - o **Number of Links with other CSDs - 1**
 - Both Inbound and Outbound – 1 (Only Direct)
 - o **Purpose of Links with other CSDs**
 - Both DVP & FOP - 1 (Only Direct)

 STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|---------------------------------------|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 534,600 | 535,569 | 544,300 | | | |
| Number of Participants | | | | | | |
| Domestic Participants | 23 | 27 | 27 | | | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 21 | 7 | 21 | 7 | 21 | 6 |
| Debt (Federal/ National Govt.) | 146 | - | 148 | - | 155 | - |
| Debt (corporate) | 6 | - | 6 | - | 6 | - |

in USD (in millions i.e., '000000)

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|--|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Conversion Rate | 2,237.111 | 2,320.264 | 2,319.000 | | | |
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 0.001 | 0.026 | 0.034 | | | |
| Value of Instructions | 230,902.093 | 1,895.760 | 754.604 | | | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | 0.000 | 0.000 | 0.000 | | | |
| Value of Corporate action | 3.674 | 35.914 | 44.893 | | | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 4,638.081 | 4,432.705 | 4,178.895 | 4,301.571 | 3,885.545 | 3,486.787 |
| CIV | - | - | - | - | - | - |
| Debt (Federal/ National Govt.) | - | - | 3,900.159 | - | 4,462.116 | - |
| Debt (Other Govt. bodies) | 4,066.361 | - | - | - | - | - |
| Debt (corporate) | 60.292 | - | 58.133 | - | 75.897 | - |

 OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services

- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify): Registry Services

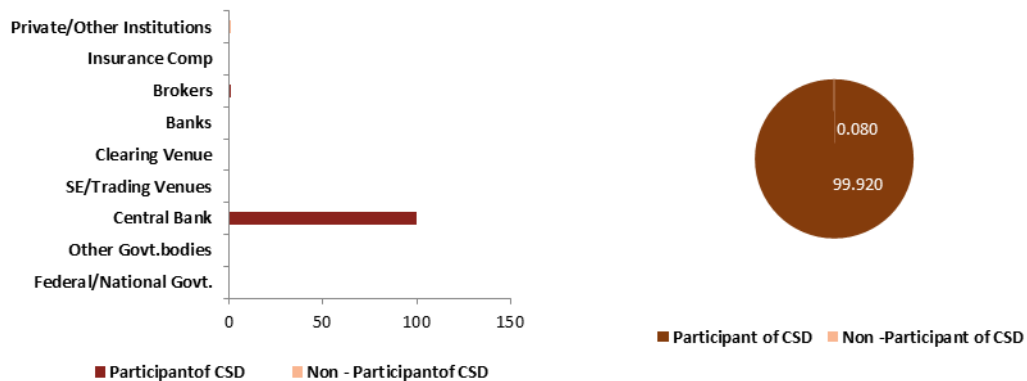


❑ BASIC INFORMATION

- **Regional Association:** AMEDA
- **LEI Number:** 5493000MI3WHG0X9PA58
- **Local Currency:** Lebanese Pound (LBP)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **CSD is owned or controlled by Central Bank**
- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are not traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure: Beneficial Owner (Omnibus accounts can also be opened)**
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** Equity
- **CSD or its group company does not have banking license**
- **CSD has DVP solution**
- **CSD settles in Central Bank money**



- Type of Participants

- **Domestic**
Custodian (73), Asset Managers (17), Others (1)
- **Non-domestic**
Custodian (11), Asset Managers (10), Others (2)

☐ FULL TIME EMPLOYEES: 35 (AS ON 31-Dec-19)

☐ ANNUAL REVENUE

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 11,446.103 | 10,829.558 | 9,343.801 |
| Other Income | 1,172.803 | 1,742.713 | 2,366.358 |
| | 12,618.905 | 12,572.271 | 11,710.159 |

☐ LINKS WITH OTHER CSDs

- **CSD has links with other CSD**
 - **Number of Links with other CSDs - 3**
 - Only Outbound – 2 (Only Direct)
 - Both Inbound and Outbound – 1 (Only Direct)
 - **Purpose of Links with other CSDs**
 - Both DVP & FOP - 3 (Only Direct)

☐ STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | | As on 31-Dec-18 | | As on 31-Dec-19 | |
|---------------------------------------|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 52,154 | | 52,295 | | 51,315 | |
| Omnibus Accounts | 515 | | 291 | | 144 | |
| Number of Participants | | | | | | |
| Domestic Participants | 90 | | 90 | | 91 | |
| Non-domestic Participants | 25 | | 24 | | 23 | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 219 | 431 | 200 | 393 | 192 | 289 |
| CIV | 5 | - | 5 | - | 4 | - |
| Debt (Federal/ National Govt.) | 552 | 32 | 702 | 30 | 706 | 29 |
| Debt (corporate) | 42 | 594 | 42 | 522 | 39 | 363 |

in USD (in millions i.e., '000000)

| Conversion Rate | | 1,507.500 | | 1,508.191 | | 1,511.967 | |
|--|-----------------|----------------|-----------------|----------------|-----------------|----------------|--|
| Settlement Instruction (During the year) | | | | | | | |
| Number of Instructions | | 0.027 | | 0.022 | | 0.010 | |
| Value of Instructions | | 72,330.939 | | 47,187.044 | | 4,749.759 | |
| Corporate Action Events (During the year) | | | | | | | |
| Number of Events handled by CSD | | 0.002 | | 0.002 | | 0.002 | |
| Value of Corporate action | | 17,101.240 | | 15,369.449 | | 9,827.443 | |
| Value on Deposit | | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign | |
| Equities | 14,171.949 | 736.802 | 12,678.754 | 590.067 | 11,059.324 | 414.662 | |
| CIV | 104.463 | - | 69.244 | - | 49.354 | - | |
| Debt (Federal/ National Govt.) | 48,210.859 | 8,078.652 | 55,883.423 | 10,043.337 | 55,437.161 | 10,068.578 | |



| | | | | | | |
|------------------|---------|-----------|---------|-----------|-----------|-----------|
| Debt (corporate) | 829.490 | 7,191.836 | 961.184 | 6,106.868 | 2,367.847 | 3,083.612 |
|------------------|---------|-----------|---------|-----------|-----------|-----------|

❑ OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify): Registrar / Custodian / Fund administrator

❑ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

- Effective November 3, 2018 as stipulated by law 75 (Cancellation of bearer shares) dated November 3, 2016, Midclear stopped accepting bearer securities in its vaults
- Effective June 29, 2019 as stipulated by law 126 (Amendments of Commercial Code) dated March 29, 2019, the underlying shares of all depository receipts must be held at Midclear.
- Midclear S.A.L., the Custodian and Clearing Center of financial instruments for Lebanon and the Middle East, has selected GMEX Group wholly owned subsidiary, GMEX Technologies, to provide and implement its innovative AvenirClear CCP product as the core system of the first derivatives central counterpart (CCP) in Lebanon. The set-up of the CCP as a separate company by Midclear represents an important milestone in the reinvigoration of the Lebanese Capital Markets, part of Lebanon's strategic plans for its economy and reconstruction. The derivatives asset classes covered include FX Futures, Equity Index Futures & Options, and Commodity Futures, including precious metals.
- A new exchange called the Electronic Trading Platform (ETP) is in the process of being set-up and is expected to start operations in quarter one of 2020.
- Midclear is in the process of setting up a separate company, as a subsidiary, to act as the CCP in order to settle trading in derivatives on the ETP.
- Moreover, Midclear will be clearing and settling cash equities trades on the ETP.
- Furthermore, two guaranty funds will be created by the CCP, one to be used in guarantying the derivatives trades and one to be used in guarantying the cash equity trades.
- However, both projects (ETP and CCP) are postponed due to the ongoing financial crises in Lebanon and the revolution that started on 17/10/2019.
- In January 2019, Midclear moved and upgraded its disaster recovery (DR) sites

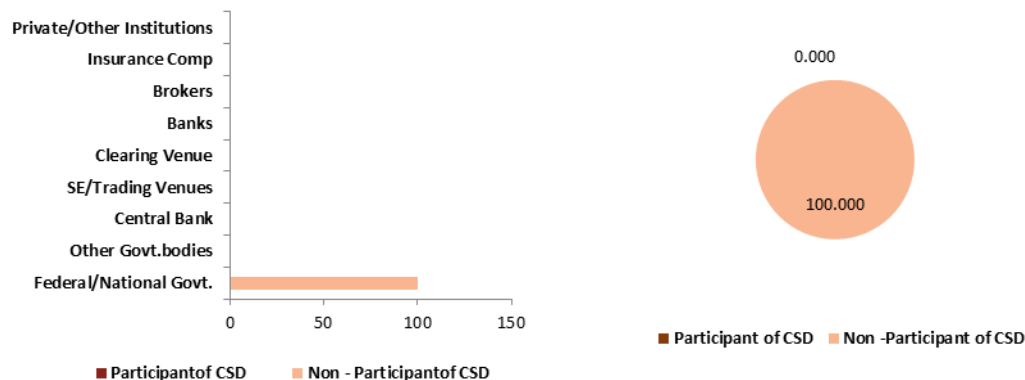
❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **LEI Number:** 213800U9YG19GFXT3S09
- **Local Currency:** Euro (EUR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI. The CSD is a function of the Cyprus Stock Exchange and does not have a separate legal personality. The Cyprus Stock Exchange is a public corporate body i.e., a semi-governmental organization (the 'owner' is the Government of Cyprus)

- Shareholding Pattern (in %)



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner (Omnibus accounts can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Government Debt, Corporate Debt
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution

- CSD settles in Central Bank money

- Type of Participants

- **Domestic**
Custodian (7), Brokers (9)
- **Non-domestic**
Custodian (7), Brokers (9)

□ FULL TIME EMPLOYEES: 66 (AS ON 31-Dec-19)

□ ANNUAL REVENUE

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 3,335.615 | 5,677.687 | 4,584.153 |
| Other Income | 203.976 | 460.710 | 410.872 |
| | 3,539.591 | 6,138.397 | 4,995.025 |

□ LINKS WITH OTHER CSDs

- CSD has no links with other CSD

□ STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|---------------------------------------|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 383,468 | 267,659 | 265,085 | | | |
| Omnibus Accounts | 45 | 48 | 56 | | | |
| Number of Participants | | | | | | |
| Domestic Participants | 15 | 16 | 16 | | | |
| Non-domestic Participants | 15 | 17 | 16 | | | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 93 | 8 | 95 | 9 | 100 | 13 |
| Debt (Federal/ National Govt.) | 38 | - | 81 | - | 94 | - |
| Debt (corporate) | 6 | 3 | 9 | 2 | 11 | 3 |
| Others | - | 1 | - | - | - | - |

in USD (in millions i.e., '000000)

| Conversion Rate | 0.833 | 0.853 | 0.852 | | | |
|--|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 0.030 | 0.029 | 0.037 | | | |
| Value of Instructions | 539.938 | 7,597.282 | 412.515 | | | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | 0.000 | 0.000 | 0.000 | | | |
| Value of Corporate action | 5,213.854 | 113,449.147 | 8,236.221 | | | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 2,498.640 | 116.027 | 1,515.000 | 855.999 | 2,137.708 | 1,587.139 |
| Debt (Federal/ National Govt.) | 2,542.003 | - | 5,654.282 | - | 4,424.503 | - |
| Debt (corporate) | 141.632 | 18.430 | 78.564 | 8.208 | 90.392 | 117.392 |
| Others | 1,317.028 | - | - | - | - | - |

OTHER SERVICES (AS ON 31-Dec-19)

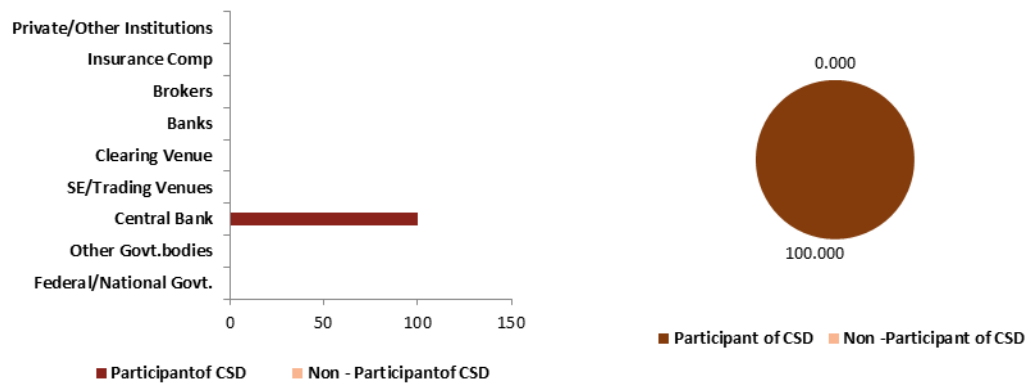
- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify)

❑ BASIC INFORMATION

- **Regional Association:** ACSDA
- **Local Currency:** United States Dollar (USD)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Central Bank
- Shareholding Pattern (in %)



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus (Beneficial Owner account can also be opened)

- **Financial Instruments accepted for deposit and/or settlement:**

- Equities
- Collective Investment Vehicles
- Government Debt
- Corporate Debt
- Others

- **Financial Instruments held in**

Dematerialized form Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others

Immobilized form Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others

- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD settles in Central Bank money

- **Type of Participants**

- Domestic
- Others (26)

FULL TIME EMPLOYEES: 14 (AS ON 31-Dec-19)

ANNUAL REVENUE

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|-------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 5,424.000 | 5.424 | 3.573 |
| Other Income | - | - | - |
| | 5,424.000 | 5.424 | 3.573 |

LINKS WITH OTHER CSDs

- CSD has no links with other CSD

STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|---------------------------------------|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 5,161 | 24,127 | 35,819 | | | |
| Omnibus Accounts | 30 | 30 | 26 | | | |
| Number of Participants | | | | | | |
| Domestic Participants | 30 | 30 | 26 | | | |
| Non-domestic Participants | - | - | - | | | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 0 | - | 0 | - | 2,970,023 | - |
| Debt (Federal/ National Govt.) | - | - | 2 | - | 1,623 | - |
| Debt (corporate) | - | - | - | - | 521 | - |

in USD (in millions i.e., '000000)

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|--|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Conversion Rate | 1.000 | 1.000 | 1.000 | | | |
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 0.006 | 0.004 | 0.019 | | | |
| Value of Instructions | 4,864.000 | 5,218.000 | 39,084.000 | | | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | 0.000 | 0.000 | 0.000 | | | |
| Value of Corporate action | 0.000 | 0.000 | 0.000 | | | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 2,970.000 | - | 0.000 | - | 2,979.000 | - |
| Debt (Federal/ National Govt.) | 15,561.000 | - | 683.950 | - | 17,772.000 | - |
| Debt (Other Govt. bodies) | 3,496.000 | - | - | - | - | - |
| Debt (corporate) | 726.000 | - | - | - | 21,974.000 | - |

OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services

- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify): -

MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

Operations issue and register, transfer, settlement instructions, operations clearance.

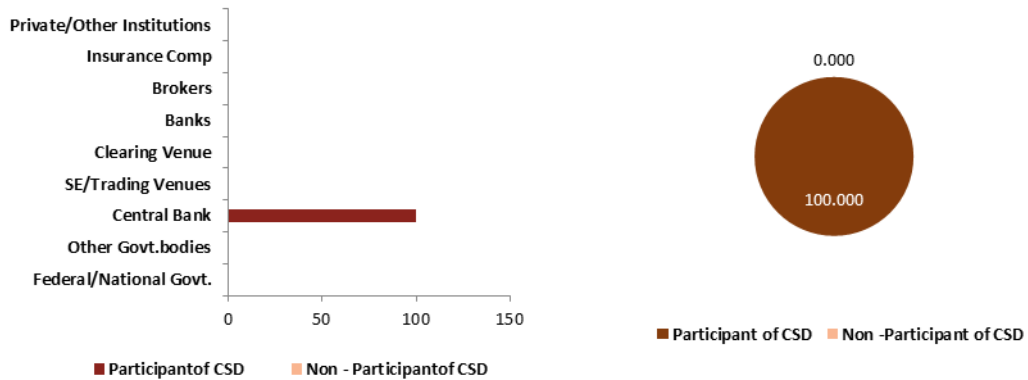


❑ BASIC INFORMATION

- **Regional Association:** ACSDA
- **LEI Number:** 549300DTMS39GZYBX161
- **Local Currency:** Uruguayo Peso (UYU)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **CSD is owned or controlled by Central Bank**
- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are not traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** Equity, Corporate Debt
- **CSD or its group company does not have banking license**
- **CSD has DVP solution**
- **CSD settles in Central Bank money**



- **Type of Participants**
 - o **Domestic**
Custodian, Brokers, Asset Managers, Others

❑ **FULL TIME EMPLOYEES: 6 (AS ON 31-Dec-19)**

❑ **ANNUAL REVENUE**

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 33,239.591 | 0.024 | 0.029 |
| Other Income | 416.362 | - | 0.002 |
| | 33,655.954 | 0.025 | 0.031 |

❑ **LINKS WITH OTHER CSDs**

- **CSD has links with other CSD**
 - o **Number of Links with other CSDs - 1**
 - Both Inbound and Outbound - 1 (Only Direct)
 - o **Purpose of Links with other CSDs**
 - Both DVP & FOP - 1 (Only Direct)

❑ **STATISTICS & VOLUME**

| Particulars | As on 31-Dec-17 | | As on 31-Dec-18 | | As on 31-Dec-19 | |
|---------------------------------------|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Omnibus Accounts | 50 | | 49 | | 50 | |
| Number of Participants | | | | | | |
| Domestic Participants | 50 | | 49 | | 50 | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 8 | - | 8 | - | 8 | - |
| Debt (Federal/ National Govt.) | 55 | 17 | 57 | 17 | 51 | 16 |
| Debt (Other Govt. bodies) | 34 | 36 | 30 | 35 | 40 | 60 |
| Debt (corporate) | 274 | 62 | 327 | 80 | 351 | 101 |

in USD (in millions i.e., '000000)

| Conversion Rate | 28.821 | 43.518 | 43.117 | | | |
|--|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 11.651 | 0.018 | 0.019 | | | |
| Value of Instructions | 36.458 | 38.668 | 35.676 | | | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | - | 0.005 | 0.005 | | | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 8.000 | - | 8.000 | - | 8.000 | - |
| Debt (Federal/ National Govt.) | 6,867.000 | 2,956.000 | 6,694.000 | 2,902.000 | 6,444.000 | 2,418.000 |
| Debt (Other Govt. bodies) | 5,784.000 | 711.000 | 8,071.000 | 616.000 | 5,783.000 | 1,300.000 |
| Debt (corporate) | 1,873.000 | - | 2,417.000 | - | 3,188.000 | - |
| Others | - | 368.000 | - | 1,022.000 | - | 1,346.000 |

☐ OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify)

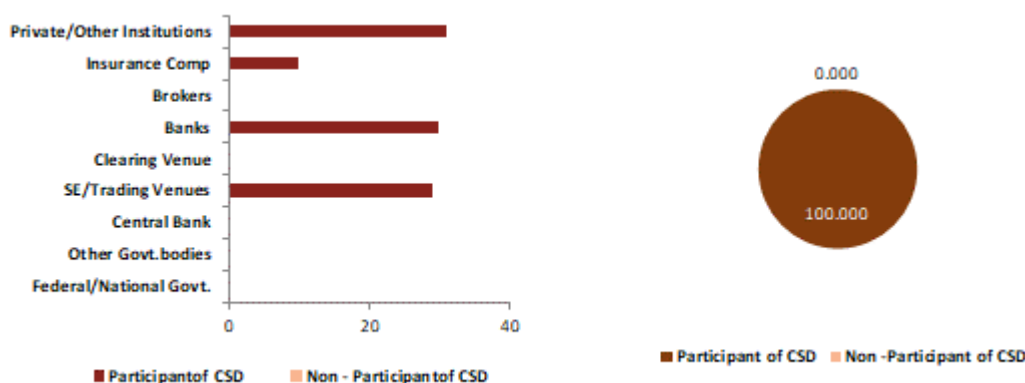
❑ BASIC INFORMATION

- **Regional Association:** ACSDA
- **Local Currency:** Chilean peso (CLP)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI.

- Shareholding Pattern (in %)



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt
 - Immobilized form** Others
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD offers both Commercial Bank money and Central Bank money for settlement

- Type of Participants

- **Domestic**
Non-custodian Banks (18), Brokers (34), Asset Managers (33), Others (96)
- **Non-domestic**
Custodian (4)

❑ **FULL TIME EMPLOYEES: 185 (AS ON 31-Dec-19)**

❑ ANNUAL REVENUE

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 33,407.529 | 31,518.380 | 34,313.592 |
| Other Income | - | - | - |
| | 33,407.529 | 31,518.380 | 34,313.592 |

❑ LINKS WITH OTHER CSDs

- **CSD has links with other CSD**
 - **Number of Links with other CSDs - 4**
 - Both Inbound and Outbound – 4 (Only Direct)
 - **Purpose of Links with other CSDs**
 - Only FOP – 4(Only Direct)

❑ STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|---------------------------------------|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 4,702 | - | 9,750 | | | |
| Omnibus Accounts | 189 | - | 802 | | | |
| Number of Participants | | | | | | |
| Domestic Participants | 120 | 180 | 181 | | | |
| Non-domestic Participants | 62 | 4 | 4 | | | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 59 | - | 0 | - | 537 | - |
| CIV | 49 | - | - | - | 2,819 | - |
| Debt (Federal/ National Govt.) | - | - | - | - | 110 | - |
| Debt (Other Govt. bodies) | - | - | - | - | 69 | - |
| Debt (corporate) | 431 | - | - | - | 1,832 | - |
| Others | 4,199 | - | - | - | 245 | - |

in USD (in millions i.e., '000000)

| Conversion Rate | 615.400 | 695.690 | 695.690 | | | |
|--|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 1.755 | 1.634 | 1.634 | | | |
| Value of Instructions | 2.521 | 2,384,671.247 | 2,384,671.247 | | | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | 0.548 | 0.501 | 0.501 | | | |
| Value of Corporate action | 586,476.010 | 513,681.240 | 513,681.240 | | | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 83,809.728 | 0.431 | 68,901.252 | - | 5.483 | - |
| CIV | 53,906.660 | 0.569 | 53,473.776 | - | 36.497 | - |
| Debt (Federal/ National | 78,655.206 | - | 73,283.293 | - | 74.783 | - |

| | | | | | | |
|---------------------------|-------------|-------|-------------|---|--------|---|
| Govt.) | | | | | | |
| Debt (Other Govt. bodies) | 3,198.753 | - | 2,571.976 | - | 0.026 | - |
| Debt (corporate) | 172,644.280 | 1.997 | 100,659.124 | - | 76.593 | - |
| Others | 3,525.034 | - | 63,055.717 | - | - | - |

❑ OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify)

❑ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

- During 2019, the DCVe project (DCV Evolución), completed successfully key implementation stages achieving goals set in functional and technical areas. At the same time, activities to approach the market were carried out through communication plans and activities to familiarize our clients with the new technology.
- For its 6 business lines, DCV has added 121 new clients (national custody 28, international custody 4, Shareholders & Participants Register 60, documents 3, collateral 12 and statistics 14)
- In other technological areas, during the period DCV consolidated its participation in several national and international groups, which are aimed at the conjoint exploration and development of technologies and services. This allows the company to incorporate within its management a future look and the compared experience of what is happening in the global capital markets in terms of exploration and development of new disruptive technologies, business models, and, also, in the Fintech world.
- DCV obtained the ISO 27001 certification on Information Security. This is the most important international standard on the topic and seeks to protect and preserve information confidentiality, integrity, and availability from a wide range of threats. This certification ensures the integrity, reliability, and availability of information; the implementation of international standards associated with information security; the development of an adequate security policy aligned with the business; and elaborate, adopt and promote measures to reduce the impact of an information security incident on the business.
- DCV obtained the first place in the Most Innovative Company Chile ranking in the financial infrastructure sector, acknowledgment from ESE Business School from the Universidad de Los Andes. This ranking highlights advances made by the company to add value to the financial market. The award reaffirms DCV's vision to

contribute and add value to the market through a formal innovation process that allows the permanent exploration of new services, products, technologies, and changes that contribute to innovation in the financial market.

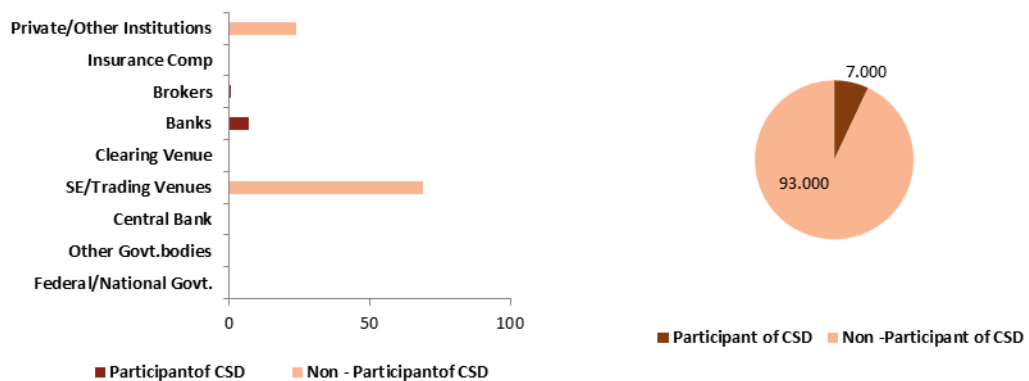
- DCV and the Central Bank of Chile: New technologies like DTL (Distributed Ledger Technology) help reduce risks and improve the process of issuing securities. This was the main conclusion of the first phase already concluded- of the initiative led by DCV and the Central Bank of Chile, after beginning to explore the incorporation of the blockchain technology to the issuance of securities. This projects goal is the understanding and adoption of new technologies, such as DLT, in the processes related to the BCCh and DCV, in its custodian role. Also, the project seeks to assess the technical feasibility for the issuance of BCCh bonds in the primary market.
- The company continued participating in a consortium comprised of other securities depositories and industry providers, working together to demonstrate how the DTL technology may be implemented in post-negotiation scenarios, which new products could be built on it and how existing standards can support them. In this line, the consortium produced a new report that analyzes the impact of crypto assets in the actual financial markets services.
- an association agreement was signed together with the Santiago Stock Exchange and Grupo GTD to form a Technological Consortium for the development of several blockchain-based applications for the financial market. This alliance is the first of its kind in Latin America. The agreement contemplates the development of a Corporate Blockchain Network, a new infrastructure that will enable to connect local and international clients from the securities market through nodes provided by the Technological Consortium or installed within the clients systems.
- DCV and BCI Corredores de Bolsa signed an agreement to boost the Foreign Securities Market and its over 200 registered securities, among them Exchange Traded Funds (ETF) issued in the United States and American stock. This is a service that allows trading locally securities issued abroad, with the possibility to settle locally in Chilean pesos or US dollars. This platform gives investors an alternative to diversify their investment portfolios with foreign-issued securities, acquiring them as if they were issued locally.
- DCV completed the British Standards Institution (BSI) audit process and received the ISO 23001 recertification without observations, for the correct management of business continuity. Operational continuity is a strategic pillar for DCV to guarantee the availability of critical services and compliance with regulations.
- As part of the commitment with ethical behavior, during the period, DCV took part for the first time in the Barometer of Values and Business Ethics conducted by Fundacion Generacion Empresarial and Diario Financiero (Finance Newspaper). The profound study assessed the state of ethics and values within the company. Thanks to the latter, DCV was distinguished for its commitment to integrity and ethics.

❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **LEI Number:** 254900LXHEVKYGERER05
- **Local Currency:** Romanian Leu (RON)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **CSD is owned or controlled by Stock Exchange**
- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure: Omnibus (Beneficial Owner account can also be opened)**
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☑ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- **CSD or its group company does not have banking license**
- **CSD has DVP solution**
- **CSD settles in Central Bank money**

- **Type of Participants**

- **Domestic**
Custodian (7), Non-custodian Banks (1), Brokers (17), Others (1)
- **Non-domestic**
Custodian (1), Non-custodian Banks (2), Brokers (4), Others (1)

□ **FULL TIME EMPLOYEES: 50 (AS ON 31-Dec-19)**

□ **ANNUAL REVENUE**

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 3,532.631 | 3,719.362 | 3,575.978 |
| Other Income | 197.723 | 36.402 | 65.668 |
| | 3,730.354 | 3,755.765 | 3,641.645 |

□ **LINKS WITH OTHER CSDs**

- **CSD has links with other CSD**
 - **Number of Links with other CSDs - 3**
 - Only Outbound – 1 (Only Direct)
 - Both Inbound and Outbound – 1 (Only Direct)
 - Only Inbound – 1 (Only Indirect)
 - **Purpose of Links with other CSDs**
 - Only FOP – 1(Only Direct)
 - Both DVP & FOP - 1 (Only Direct)
 - Only FOP – 1(Only Indirect)

□ **STATISTICS & VOLUME**

| Particulars | As on 31-Dec-17 | | As on 31-Dec-18 | | As on 31-Dec-19 | |
|---------------------------------------|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 8,561,946 | | 8,507,266 | | 8,436,068 | |
| Omnibus Accounts | 69 | | 58 | | 60 | |
| Number of Participants | | | | | | |
| Domestic Participants | 28 | | 27 | | 26 | |
| Non-domestic Participants | 8 | | 8 | | 8 | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 870 | 3 | 850 | 4 | 821 | 4 |
| CIV | 4 | - | 5 | - | 6 | - |
| Debt (Federal/ National Govt.) | 1 | - | - | - | - | - |
| Debt (Other Govt. bodies) | 38 | - | 38 | - | 38 | - |
| Debt (corporate) | 40 | - | 42 | - | 61 | - |
| Others | 8 | - | 6 | - | 15 | - |

in USD (in millions i.e., '000000)

| | 3.904 | 4.121 | 4.112 |
|--|-----------|------------|-----------|
| Conversion Rate | | | |
| Settlement Instruction (During the year) | | | |
| Number of Instructions | 1.082 | 0.754 | 0.636 |
| Value of Instructions | 9,925.956 | 10,157.817 | 9,462.726 |
| Corporate Action Events (During the year) | | | |
| Value of Corporate action | 2,727.116 | 2,685.080 | 2,253.632 |

| Value on Deposit | | | | | | |
|--------------------------------|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 25,847.094 | 438.865 | 23,502.294 | 393.224 | 30,172.109 | 637.984 |
| CIV | 13.584 | - | 26.073 | - | 29.033 | - |
| Debt (Federal/ National Govt.) | 189.445 | - | - | - | - | - |
| Debt (Other Govt. bodies) | 756.244 | - | 705.313 | - | 684.208 | - |
| Debt (corporate) | 946.001 | - | 1,175.998 | - | 1,267.195 | - |
| Others | 17.570 | - | 0.731 | - | - | - |

OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify)

MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

- Depozitarul Central authorization according to the European Regulation no. 909/2014 on improving securities settlement in the European Union and on central securities depositories.
- Depozitarul Central has been authorized by the Financial Supervisory Authority, as competent authority, the National Bank of Romania and the European Central Bank as relevant authority, under the European Regulation no. 909/2014 (CSDR) by the Authorization no. 176/19.12.2019, being registered in the CSD Register maintained by European Securities and Markets Authority (ESMA).
- The authorities involved in the authorization process confirmed that Depozitarul Central meets the requirements imposed by the CSDR and the delegated regulations issued in its application. Regulation 909/2014 (CSDR) is directly applicable to all CSDs in the European Union, without the need for its transposition into national legislation.
- Involvement of Depozitarul Central in the steps to promote Romania to Emerging Market status
- Depozitarul Central has actively supported the capital market initiatives in Romania's promotion to Emerging Market status. As a result of these joint efforts, in September 2019, Global index provider FTSE Russell promoted Romania to the Emerging Market from Frontier Market status. The decision was made three years after Romania was added to the Watch List. The reclassification of the status will enter into force in September 2020.
- The significant contribution of Depozitarul Central to the fulfillment of the qualitative criteria necessary for the upgrading to the Secondary Emerging status of

the Romanian capital market by FTSE Russel is explained by the fact that one third of the 9 criteria necessary to be met for inclusion in the new status, refers exclusively to the post-trading segment. Also, taking into account the values settled in Depozitarul Central system related to turnaround transactions carried out outside the trading systems, according to the rules and mechanisms developed by Depozitarul Central, in calculating the quantitative criteria regarding liquidity had an important impact regarding the fulfillment of these criteria necessary for the reclassification of the Romanian capital market

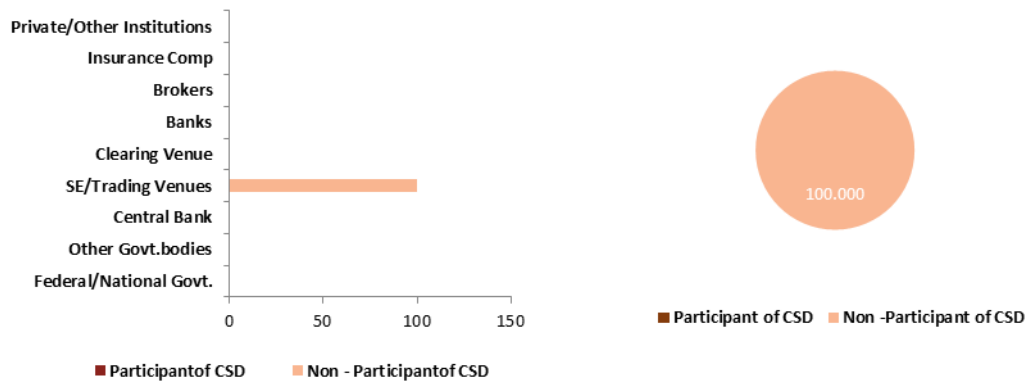
- ECSDA Annual General Assembly meeting organized in Bucharest by Depozitarul Central on 15th -16th of May 2019
- Depozitarul Central hosted, on 15th -16th of May 2019 in Bucharest, the Annual General Assembly meeting of the members of the European Central Securities Depositories Association (ECSDA).
- During 2019, Depozitarul Central participated at important events of the financial community, such as: CONFEAS; Federation of Euro-Asian Stock Exchanges, the conference "Future of the Romanian capital market", organized by Bursa Newspaper, The Capital Market Forum, organized by Financial Intelligence. Depozitarul Central joined the Financial Supervisory Authority's initiatives and supported the organization of the World Investor Week 2019 event.
- First year of operation as LOU
- As Local Operating Unit (LOU), Depozitarul Central carried out during 2019 the activity of issuing and managing LEI codes, being the only institution in Romania authorized to perform this type of operations. Depozitarul Central has been accredited in December 2018 by the Global Legal Entity Identifier Foundation (GLEIF) as the Local Operating Unit (LOU) for the issuance and maintenance of LEI codes.
- International cooperation: In order to harmonize its own activities with the new European regulatory tendencies, Depozitarul Central continued its collaboration with the European Central Depository Association (ECSDA). Through the Public Policy Working Group WG2, the Settlement Working Group WG3, the Risk Management Working Group RMWG, the Compliance Working Group and the ECSDA Board of Governors, Depozitarul Central was also actively involved in 2019 in projects under the ECSDA analysis. The development of international cooperation was also supported by the work of Depozitarul Central as a full member of ANNA (Association of National Numbering Agencies) as national numbering agency and ISSA (International Securities Services Association).

❑ BASIC INFORMATION

- **Regional Association:** AMEDA
- **Local Currency:** United Arab Emirates Dirham (AED)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Stock Exchange
- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner
- **Financial Instruments accepted for deposit and/or settlement (either or in the below section)**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD uses external Commercial Bank money (CoBM) for settlement
- **Type of Participants**
 - **Domestic**
 - Custodian (5), Brokers (54)

FULL TIME EMPLOYEES: 44 (AS ON 31-Dec-19)

ANNUAL REVENUE

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 10,057.182 | 7,090.486 | 6,253.012 |
| Other Income | - | - | - |
| | 10,057.182 | 7,090.486 | 6,253.012 |

LINKS WITH OTHER CSDs

- **CSD has links with other CSD**
 - o **Number of Links with other CSDs - 5**
 - Both Inbound and Outbound – 5 (Only Direct)
 - o **Purpose of Links with other CSDs**
 - Only FOP – 4 (Only Direct)
 - Both DVP & FOP - 1 (Only Direct)

STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|---------------------------------------|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 1,571,000 | 1,589,751 | 1,583,869 | | | |
| Number of Participants | | | | | | |
| Domestic Participants | 54 | 61 | 59 | | | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 67 | - | 67 | - | 66 | - |
| CIV | 1 | - | - | - | - | - |

in USD (in millions i.e., '000000)

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|--|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Conversion Rate | 3.673 | 3.673 | 3.673 | | | |
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 2,220 | 1,321 | 1,408 | | | |
| Value of Instructions | 31,710.117 | 16,362.816 | 14,497.475 | | | |
| Corporate Action Events (During the year) | | | | | | |
| Value of Corporate action | 4,232.864 | 4,742.792 | 3,435.975 | | | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 108,118.481 | - | 94,225.610 | - | 104,240.399 | - |
| CIV | 2.206 | - | - | - | - | - |

OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform

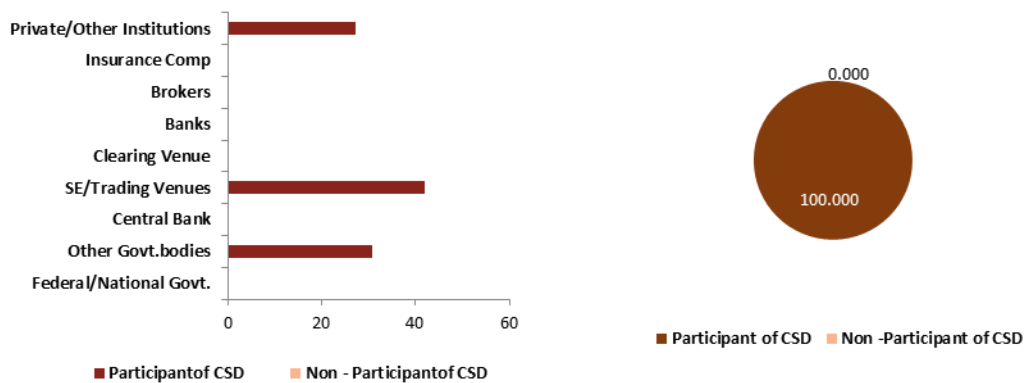
- None of the above
- Others (Please specify): Mandatory cash dividend payment, debit card or crediting cash dividends.

❑ BASIC INFORMATION

- **Regional Association:** ACSDA
- **LEI Number:** No
- **Local Currency:** Bolivian Boliviano (BOB)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **CSD is owned or controlled by Stock Exchange**
- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are not traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure: Beneficial Owner**
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- **CSD or its group company have banking license**
- **CSD has DVP solution**
- **CSD uses external Commercial Bank money (CoBM) for settlement**

- **Type of Participants**

o **Domestic**

Custodian (24), Non-custodian Banks (17), Brokers (12), Others (2)

FULL TIME EMPLOYEES: 58 (AS ON 31-Dec-19)

ANNUAL REVENUE

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 4,808.675 | 5,299.943 | 5,534.055 |
| Other Income | 242.689 | 247.776 | 189.954 |
| | 5,051.364 | 5,547.719 | 5,724.009 |

LINKS WITH OTHER CSDs

- CSD has no links with other CSD

STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | | As on 31-Dec-18 | | As on 31-Dec-19 | |
|---------------------------------------|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 157,061 | | 193,576 | | 274,547 | |
| Number of Participants | | | | | | |
| Domestic Participants | 51 | | 53 | | 55 | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 0 | - | 54 | - | 56 | - |
| CIV | - | - | 32 | - | 33 | - |
| Debt (Federal/ National Govt.) | - | - | 8,999 | - | 8,949 | - |
| Debt (Other Govt. bodies) | - | - | 1 | - | - | - |
| Debt (corporate) | - | - | 262 | - | 267 | - |

in USD (in millions i.e., '000000)

| Conversion Rate | 6.860 | | 6.860 | | 6.860 | |
|--|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 0.049 | | 0.061 | | 0.048 | |
| Value of Instructions | 127,725.415 | | 26,117.008 | | 18,311.663 | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | 0.000 | | 0.000 | | 0.000 | |
| Value of Corporate action | 0.000 | | 4.844 | | 5.071 | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 1,240.930 | - | 1,096.606 | - | 1,176.226 | - |
| CIV | 1,508.147 | - | 1,785.699 | - | 1,844.417 | - |
| Debt (Federal/ National Govt.) | 4,621.983 | - | 4,671.953 | - | 4,616.219 | - |
| Debt (Other Govt. bodies) | 0.006 | - | 21.453 | - | 21.281 | - |
| Debt (corporate) | 16,802.359 | - | 16,681.952 | - | 18,610.520 | - |

❑ OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify)

❑ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

- Opening of the Issuer Account with the TGN
- Automated Service for the Collection of Economic Rights.
- In July 2019, the automated service for the collection of economic rights on behalf of its clients was put into production. This development had the objectives of: i) reducing service times; ii) eliminating the risks related to the use of notes; iii) increasing the levels of control in the transfer of funds from the accounts of the paying agents to the accounts of the clients; iv) to implement an electronic funds transfer scheme through the creation of a " Settlement Account " of EDV in the BCB.
- Implementation of modifications to the OTC Operations Registration System (SIRTEX)
- As of 2019, EDV authorized the functionality of SIRTEX to allow the BCB to use DPF as collateral in repurchase agreements within its Electronic Auction System
- Moved to new facilities
- In July 2019, the EDV transferred its principal offices to its new building, built jointly with the Bolivian Stock Exchange S.A. the new EDV facilities are located in a strategic location for the stock market and the financial system, in addition to solving the entity's space needs, reinforcing EDV's institutional image of solvency and security.
- Implementation of the Security Operations Center
- As part of EDV's Comprehensive Risk Management, it was implemented a Security Operations Center (SOC) located on the 6th floor (Management of Integral Risk Management) of the Bolivian Stock Exchange building, to permanently verify the correct operation of the Security controls of Information, Business Continuity and Physical Security of EDV.
- New Data Processing Center

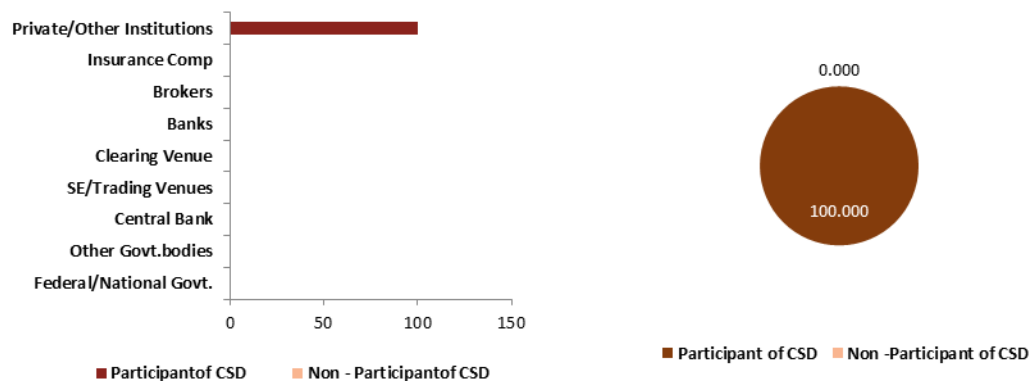
-
- Evaluation of the culture and organizational climate of EDV under the methodology Great Place to Work
- In December 2019, EDV carried out the evaluation of the organizational culture and climate under the methodology of Great Place to work

❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **Local Currency:** Euro (EUR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Holding Company that also owns other FMIs
- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- CSD or its group company have banking license
- CSD has DVP solution
- CSD has banking license and offers Commercial Bank money settlement

❑ FULL TIME EMPLOYEES: 2900 (AS ON 31-Dec-19)

LINKS WITH OTHER CSDs

- CSD has links with other CSD

STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 |
|---------------------------------------|-----------------|-----------------|-----------------|
| Number of accounts held by CSD | | | |
| Omnibus Accounts | 3,826 | 4,246 | 4,919 |
| Number of Participants | | | |
| Domestic Participants | 43 | - | - |
| Non-domestic Participants | 1,596 | - | - |

in USD (in millions i.e., '000000)

| Conversion Rate | 0.833 | 0.835 | 0.846 |
|---|-----------------|-----------------|-----------------|
| Settlement Instruction (During the year) | | | |
| Number of Instructions | 95.000 | 106.599 | 116.068 |
| Value of Instructions | 594,758,399.328 | 632,160,503.069 | 643,061,591.491 |

OTHER SERVICES (AS ON 31-Dec-19)

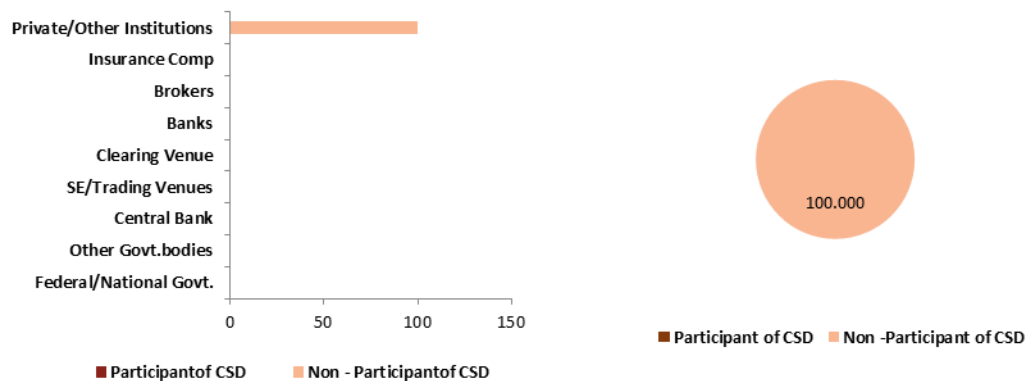
- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify)

❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **LEI Number:** 549300ML2KAH0XQ8B089
- **Local Currency:** Euro (EUR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Holding Company that also owns other FMIs
- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus (Beneficial Owner account can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Corporate Debt, Others
 - Immobilized form** Equity, Collective Investment Vehicles, Corporate Debt, Others
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD settles in Central Bank money

- **Type of Participants**
 - o **Domestic**
Custodian (14), Others (2)
 - o **Non-domestic**
Custodian (40), Brokers (27), Others (3)

□ **FULL TIME EMPLOYEES: 33 (AS ON 31-Dec-19)**

□ **ANNUAL REVENUE**

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | - | 14,531.712 | 14,434.783 |
| Other Income | - | 2,523.419 | 3,214.583 |
| | - | 17,055.131 | 17,649.365 |

□ **LINKS WITH OTHER CSDs**

- **CSD has links with other CSD**
 - o **Number of Links with other CSDs - 7**
 - Only Inbound – 5 (Only Direct)
 - Only Outbound – 1 (Only Direct)
 - Only Outbound – 1 (Only Indirect)
 - o **Purpose of Links with other CSDs**
 - Only FOP – 1 (Only Direct)
 - Both DVP & FOP - 5 (Only Direct)
 - Only FOP – 1 (Only Indirect)

□ **STATISTICS & VOLUME**

| Particulars | As on 31-Dec-17 | | As on 31-Dec-18 | | As on 31-Dec-19 | |
|---------------------------------------|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | - | | 111 | | 114 | |
| Omnibus Accounts | - | | 482 | | 524 | |
| Number of Participants | | | | | | |
| Domestic Participants | - | | 16 | | 16 | |
| Non-domestic Participants | - | | 71 | | 70 | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | - | - | 323 | 5 | 303 | 7 |
| CIV | - | - | 56 | - | 54 | - |
| Debt (corporate) | - | - | 22 | 1 | 7 | 1 |
| Others | - | - | 1,231 | 1 | 1,140 | 1 |

in USD (in millions i.e., '000000)

| Conversion Rate | | 0.886 | | 0.882 | | |
|--|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | - | 2.650 | | 2.581 | | |
| Value of Instructions | - | 1,087,554.287 | | 888,747.357 | | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | - | 0.003 | | 0.003 | | |
| Value of Corporate action | - | 21,188.620 | | 16,454.369 | | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |

| | | | | | | |
|------------------|---|---|-------------|---------|-------------|---------|
| Equities | - | - | 201,633.758 | 103.645 | 250,594.026 | 119.975 |
| CIV | - | - | 727.690 | - | 715.215 | - |
| Debt (corporate) | - | - | 338.684 | - | 269.825 | - |
| Others | - | - | 123.893 | - | 197.695 | - |

OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify): -

MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

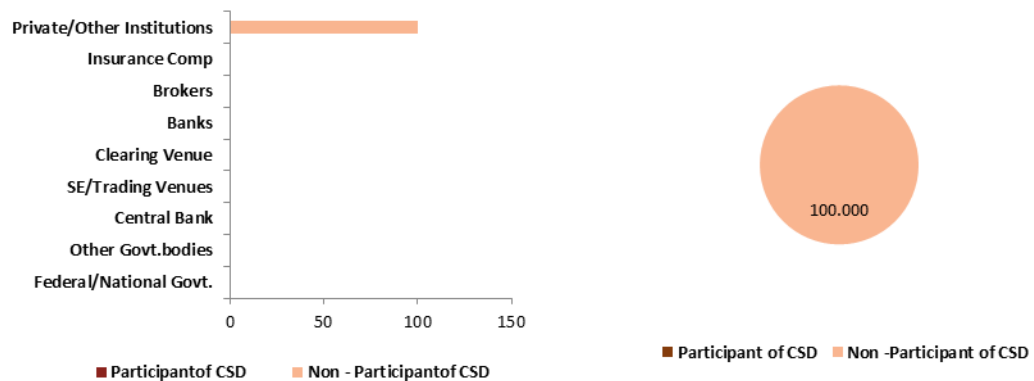
In April 2019 Euroclear Belgium obtained the license to operate under the Central Securities Depositories Regulation (CSDR).

❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **Local Currency:** Euro (EUR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Holding Company that also owns other FMIs
- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner (Omnibus accounts can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD settles in Central Bank money

- Type of Participants

- **Domestic**
Custodian (5), Non-custodian Banks (5), Others (3)
- **Non-domestic**
Custodian (1), Non-custodian Banks (5), Others (4)

❑ **FULL TIME EMPLOYEES: 107 (AS ON 31-Dec-19)**

❑ ANNUAL REVENUE

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 0.000 | 52,925.068 | 54,805.819 |
| Other Income | - | 856.877 | 298.509 |
| | 0.000 | 53,781.946 | 55,104.328 |

❑ LINKS WITH OTHER CSDs

- **CSD has links with other CSD**
 - **Number of Links with other CSDs - 4**
 - Only Inbound – 2 (Only Direct)
 - Only Outbound – 1 (Only Direct)
 - Only Inbound – 1 (Only Indirect)
 - **Purpose of Links with other CSDs**
 - Only FOP – 1(Only Direct)
 - Both DVP & FOP - 2 (Only Direct)
 - Only FOP – 1(Only Indirect)

❑ STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | | As on 31-Dec-18 | | As on 31-Dec-19 | |
|---------------------------------------|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 1,500,000 | | - | | - | |
| Omnibus Accounts | 10,000 | | 34 | | 35 | |
| Number of Participants | | | | | | |
| Domestic Participants | 13 | | 14 | | 13 | |
| Non-domestic Participants | 9 | | 9 | | 10 | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 355 | 8 | 0 | - | 0 | - |
| CIV | 1 | - | - | - | - | - |
| Debt (Federal/ National Govt.) | 25 | - | - | - | - | - |
| Debt (Other Govt. bodies) | - | - | - | - | - | - |
| Debt (corporate) | 1,597 | - | - | - | - | - |
| Others | 5,545 | - | - | - | - | - |

in USD (in millions i.e., '000000)

| Conversion Rate | 0.833 | 0.834 | 0.834 |
|--|---------|---------------|---------------|
| Settlement Instruction (During the year) | | | |
| Number of Instructions | 7.600 | 9.263 | 9.577 |
| Value of Instructions | 763.112 | 1,753,375.079 | 1,866,236.685 |
| Corporate Action Events (During the year) | | | |
| Number of Events handled by CSD | 0.009 | 0.010 | 0.014 |
| Value of Corporate action | 763.112 | 0.000 | 0.000 |

| Value on Deposit | | | | | | |
|--------------------------------|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 305,529.850 | 3,172.434 | 0.000 | - | 0.000 | - |
| CIV | 364.758 | - | - | - | - | - |
| Debt (Federal/ National Govt.) | 116,077.960 | - | - | - | - | - |
| Debt (corporate) | 25,692.970 | - | - | - | - | - |
| Others | 24,613.527 | - | - | - | - | - |

❑ OTHER SERVICES (AS ON 31-Dec-19)

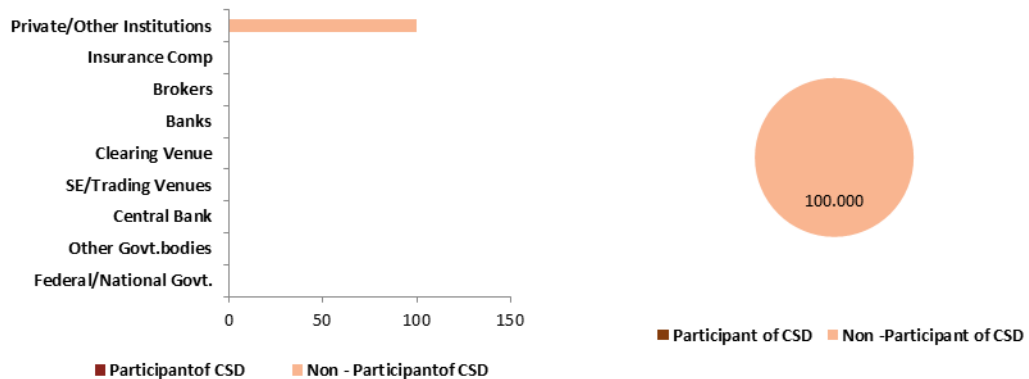
- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify): General Meeting services to issuers

❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **LEI Number:** 54930060MY6S68NEUP16
- **Local Currency:** Euro (EUR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Holding Company that also owns other FMIs
- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus (Beneficial Owner account can also be opened)

- **Financial Instruments accepted for deposit and/or settlement:**

- Equities
- Collective Investment Vehicles
- Government Debt
- Corporate Debt
- Others

- **Financial Instruments held in**

Dematerialized form Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others

Immobilized form Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others

- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD settles in Central Bank money

- **Type of Participants**
 - o **Domestic**
Custodian (64), Brokers (19), Others (14)
 - o **Non-domestic**
Custodian (51), Brokers (11), Others (11)

❑ **FULL TIME EMPLOYEES: 308 (AS ON 31-Dec-19)**

❑ **ANNUAL REVENUE**

| | in USD (in thousands i.e., '000) | | |
|--------------------------------|----------------------------------|------------------------|------------------------|
| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
| Revenue from Operations | 155,025.704 | 152,138.790 | 160,550.080 |
| Other Income | 19,600.937 | 7,558.356 | 8,416.060 |
| | 174,626.641 | 159,697.146 | 168,966.140 |

❑ **LINKS WITH OTHER CSDs**

- **CSD has links with other CSD**
 - o **Number of Links with other CSDs - 26**
 - Only Inbound – 6 (Only Direct)
 - Only Outbound – 7 (Only Direct)
 - Only Outbound – 13 (Only Indirect)
 - o **Purpose of Links with other CSDs**
 - Only FOP – 3 (Only Direct)
 - Both DVP & FOP - 10 (Only Direct)
 - Only FOP – 13 (Only Indirect)

❑ **STATISTICS & VOLUME**

| Particulars | As on 31-Dec-17 | | As on 31-Dec-18 | | As on 31-Dec-19 | |
|---------------------------------------|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | - | | 236 | | 254 | |
| Omnibus Accounts | - | | 832 | | 902 | |
| Number of Participants | | | | | | |
| Domestic Participants | 101 | | 95 | | 97 | |
| Non-domestic Participants | 60 | | 69 | | 73 | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 1,205 | 159 | 1,209 | 162 | 1,194 | 179 |
| CIV | 24,236 | 255 | 25,806 | 255 | 26,683 | 257 |
| Debt (Federal/ National Govt.) | - | - | 441 | 827 | 436 | 965 |
| Debt (corporate) | - | - | 21,661 | 28,753 | 24,104 | 36,618 |
| Others | 36,801 | 32 | 52,388 | 30 | 51,688 | 37 |

| | in USD (in millions i.e., '000000) | | |
|--|------------------------------------|-----------------|-----------------|
| Conversion Rate | 0.833 | 0.886 | 0.882 |
| Settlement Instruction (During the year) | | | |
| Number of Instructions | 26.264 | 27.951 | 29.215 |
| Value of Instructions | 96,468,216.948 | 104,223,688.175 | 127,508,036.711 |
| Corporate Action Events (During the year) | | | |

| | | | | | | |
|---------------------------------|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Number of Events handled by CSD | 0.622 | 0.240 | 0.302 | | | |
| Value of Corporate action | 12,454,862.216 | 10,232,257.846 | 6,369,303.243 | | | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 619,301.308 | 71,859.705 | 2,231,699.977 | 23,399.931 | 2,790,567.768 | 31,366.927 |
| CIV | 33,484.535 | 14,692.304 | 1,398,811.033 | 2,704.643 | 1,501,088.088 | 3,330.590 |
| Debt (Federal/ National Govt.) | - | - | 2,016,094.137 | 1,043.209 | 2,096,531.612 | 1,194.073 |
| Debt (Other Govt. bodies) | - | - | - | - | - | - |
| Debt (corporate) | - | - | 1,699,284.695 | 5,796.630 | 1,845,709.109 | 13,141.976 |
| Others | 13,499.642 | 359.958 | 21,158.762 | 465.064 | 18,454.731 | 549.220 |

❑ OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify)

❑ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

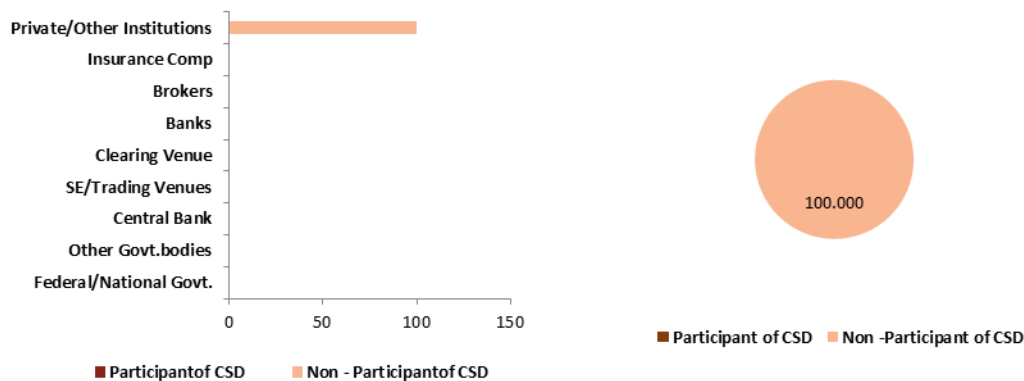
In April 2019 Euroclear France obtained the license to operate under the Central Securities Depositories Regulation (CSDR)

❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **LEI Number:** 549300738RYMTWUC1055
- **Local Currency:** Euro (EUR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Holding Company that also owns other FMIs
- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus (Beneficial Owner account can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD settles in Central Bank money

- **Type of Participants**
 - o **Domestic**
Custodian (15), Brokers (3), Others (1)
 - o **Non-domestic**
Custodian (43), Brokers (23), Others (4)

☐ FULL TIME EMPLOYEES: 38 (AS ON 31-Dec-19)

☐ ANNUAL REVENUE

| | in USD (in thousands i.e., '000) | | |
|--------------------------------|----------------------------------|------------------------|------------------------|
| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
| Revenue from Operations | 0.000 | 28,045.903 | 30,622.563 |
| Other Income | - | 5,438.774 | 5,842.321 |
| | 0.000 | 33,484.677 | 36,464.884 |

☐ LINKS WITH OTHER CSDs

- **CSD has links with other CSD**
 - o **Number of Links with other CSDs - 14**
 - Only Inbound – 7 (Only Direct)
 - Only Outbound – 1 (Only Direct)
 - Only Outbound – 6 (Only Indirect)
 - o **Purpose of Links with other CSDs**
 - Only FOP – 1 (Only Direct)
 - Both DVP & FOP - 7 (Only Direct)
 - Only FOP – 6 (Only Indirect)

☐ STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | | As on 31-Dec-18 | | As on 31-Dec-19 | |
|--|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| <u>Number of accounts held by CSD</u> | | | | | | |
| Beneficial Owner Accounts | - | 98 | - | 100 | - | 100 |
| Omnibus Accounts | - | 498 | - | 543 | - | 543 |
| <u>Number of Participants</u> | | | | | | |
| Domestic Participants | - | 19 | - | 19 | - | 19 |
| Non-domestic Participants | - | 69 | - | 70 | - | 70 |
| <u>Number of eligible issues</u> | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 0 | - | 277 | 80 | 304 | 83 |
| CIV | - | - | 249 | 145 | 251 | 144 |
| Debt (Federal/ National Govt.) | - | - | 134 | - | 152 | - |
| Debt (corporate) | - | - | 765 | 848 | 800 | 818 |
| Others | - | - | 21,715 | 26 | 27,814 | 30 |

| | in USD (in millions i.e., '000000) | | |
|---|------------------------------------|---------------|---------------|
| <u>Conversion Rate</u> | - | 0.886 | 0.882 |
| <u>Settlement Instruction (During the year)</u> | | | |
| Number of Instructions | - | 6.352 | 6.587 |
| Value of Instructions | - | 5,994,827.732 | 6,367,352.096 |
| <u>Corporate Action Events (During the year)</u> | | | |
| Number of Events handled by CSD | - | 0.078 | 0.093 |
| Value of Corporate action | - | 1,760,040.733 | 2,099,051.467 |
| <u>Value on Deposit</u> | | | |

| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
|--------------------------------|----------|---------|-------------|------------|-------------|------------|
| Equities | - | - | 482,667.566 | 68,596.345 | 651,419.491 | 64,893.185 |
| CIV | - | - | 27,606.946 | 11,569.880 | 32,574.356 | 10,516.152 |
| Debt (Federal/ National Govt.) | - | - | 363,083.807 | - | 350,872.277 | - |
| Debt (corporate) | - | - | 123,230.727 | 1,675.221 | 129,607.702 | 1,871.376 |
| Others | - | - | 8,977.744 | 309.569 | 5,880.906 | 401.818 |

OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify): -

MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

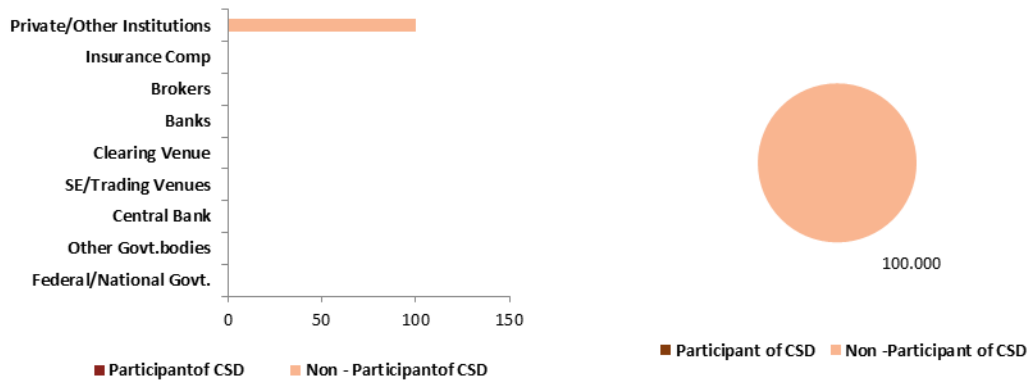
In May 2019 Euroclear Nederland obtained the license to operate under the Central Securities Depositories Regulation (CSDR).

❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **LEI Number:** 5493006WLDSUHWHT321
- **Local Currency:** Swedish Krona (SEK)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Holding Company that also owns other FMIs
- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus (Beneficial Owner account can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD uses external Commercial Bank money (CoBM) for settlement

- **Type of Participants**

- **Domestic**
Custodian (16), Non-custodian Banks (2), Others (4)
- **Non-domestic**
Custodian (5), Others (5)

FULL TIME EMPLOYEES: 100 (AS ON 31-Dec-19)

ANNUAL REVENUE

| | in USD (in thousands i.e., '000) | | |
|--------------------------------|----------------------------------|------------------------|------------------------|
| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
| Revenue from Operations | 0.000 | 63,158.222 | 71,650.508 |
| Other Income | - | - | - |
| | 0.000 | 63,158.222 | 71,650.508 |

LINKS WITH OTHER CSDs

- **CSD has links with other CSD**
 - **Number of Links with other CSDs - 8**
 - Only Inbound – 1 (Only Direct)
 - Only Outbound – 3 (Only Direct)
 - Only Outbound – 4 (Only Indirect)
 - **Purpose of Links with other CSDs**
 - Only FOP – 4 (Only Direct)
 - Only FOP – 4 (Only Indirect)

STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | | As on 31-Dec-18 | | As on 31-Dec-19 | |
|---------------------------------------|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | - | | 1,077,296 | | 869,417 | |
| Omnibus Accounts | - | | 9,019 | | 8,315 | |
| Number of Participants | | | | | | |
| Domestic Participants | - | | 22 | | 22 | |
| Non-domestic Participants | - | | 10 | | 10 | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |

| | in USD (in millions i.e., '000000) | | |
|--|------------------------------------|----------------|----------------|
| Conversion Rate | 0.000 | 8.689 | 8.689 |
| Settlement Instruction (During the year) | | | |
| Number of Instructions | 0.000 | 14.992 | 0.013 |
| Value of Instructions | 0.000 | 14,460,534.340 | 12,993,831.576 |
| Corporate Action Events (During the year) | | | |
| Number of Events handled by CSD | 0.000 | 0.000 | 0.000 |
| Value of Corporate action | 0.000 | 2,335,881.990 | 2,379,080.180 |

OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services

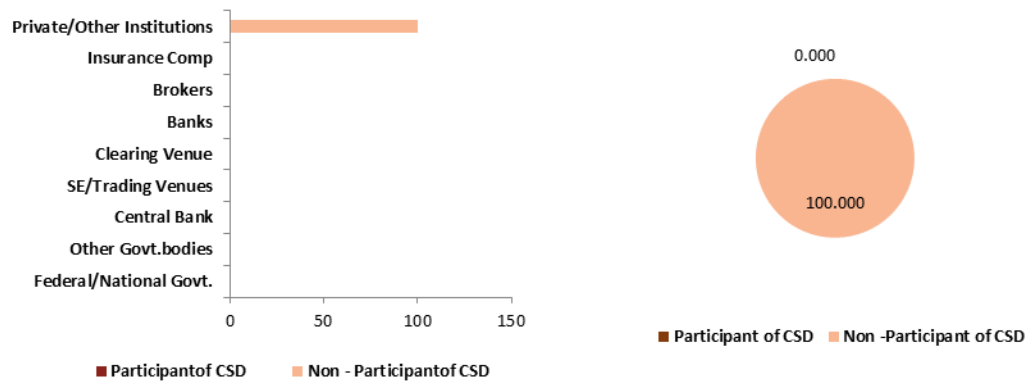
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify)

❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **LEI Number:** 549300M5MYAD51WHJD55
- **Local Currency:** British Pound Sterling (GBP)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Holding Company that also owns other FMIs
- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner (Omnibus accounts can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD settles in Central Bank money

- **Type of Participants**

- **Domestic**
Others (8229)
- **Non-domestic**
Others (168)

☐ **FULL TIME EMPLOYEES: 124 (AS ON 31-Dec-19)**

☐ **ANNUAL REVENUE**

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 140,809.711 | 128,376.845 | 139,451.662 |
| Other Income | 302.465 | 1,081.368 | 1,249.115 |
| | 141,112.176 | 129,458.214 | 140,700.777 |

☐ **LINKS WITH OTHER CSDs**

- **CSD has links with other CSD**

- **Number of Links with other CSDs - 3**
 - Both Inbound and Outbound – 3 (Only Direct)
- **Purpose of Links with other CSDs**
 - Only FOP – 3 (Only Direct)

☐ **STATISTICS & VOLUME**

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|---------------------------------------|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 291,169 | 95,338 | 89,729 | | | |
| Omnibus Accounts | 13,103 | 219 | 2,219 | | | |
| Number of Participants | | | | | | |
| Domestic Participants | 15,300 | 14,469 | 8,229 | | | |
| Non-domestic Participants | 240 | 191 | 168 | | | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 3,197 | 7,946 | 3,168 | 9,100 | 3,023 | 8,110 |
| CIV | 2,571 | 1,402 | 2,258 | 701 | 2,433 | 2,048 |
| Debt (Federal/ National Govt.) | 248 | 2 | 216 | - | 209 | - |
| Debt (corporate) | 3,025 | 903 | 3,379 | 909 | 2,917 | 831 |

in USD (in millions i.e., '000000)

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|--|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Conversion Rate | 0.741 | 0.771 | 0.770 | | | |
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 64.600 | 64.884 | 65.307 | | | |
| Value of Instructions | 328,744,436.399 | 369,949,598.377 | 394,303.670 | | | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | 0.037 | 0.024 | 0.024 | | | |
| Value of Corporate action | 306,270.336 | 372,947.637 | 321,521.272 | | | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 3,616,459.112 | 32,076.166 | 3,069,513.579 | 107,705.074 | 3,388,619.026 | 163,717.222 |
| CIV | 109,281.763 | 70,255.648 | - | - | - | - |
| Debt (Federal/ National) | 3,181,080.688 | 5.401 | 2,745,475.173 | - | 2,857,247.661 | - |

| | | | | | | |
|------------------|-------------|-----------|-------------|-----------|-------------|-----------|
| Govt.) | | | | | | |
| Debt (corporate) | 149,799.949 | 6,735.252 | 270,981.335 | 5,253.843 | 275,714.314 | 5,286.018 |

OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify): Lending and Borrowing services (EUI does not act as agent), Collateral services (EUI does not act as agent), SDRT collection and CREST counter services

MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

During 2019 EUI continued to progress the completion of its CSDR license application.

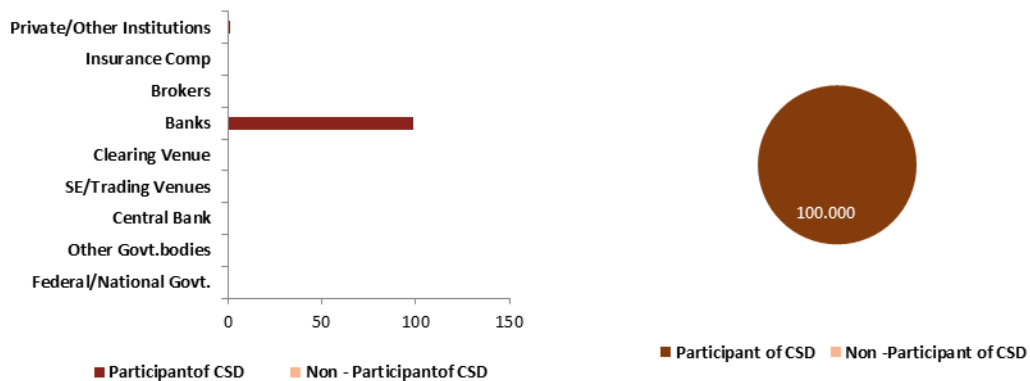
❑ BASIC INFORMATION

- **Regional Association:** AECSD
- **Local Currency:** Georgian Lari (GEL)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **CSD is owned or controlled by Stock Exchange**

- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are not traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure: Omnibus (Beneficial Owner account can also be opened)**

- **Financial Instruments accepted for deposit and/or settlement:**

- Equities
- Collective Investment Vehicles
- Government Debt
- Corporate Debt
- Others

- **Financial Instruments held in**

- Dematerialized form** Equity, Corporate Debt
- Immobilized form** -

- **CSD or its group company does not have banking license**
- **CSD has DVP solution**
- **CSD uses external Commercial Bank money (CoBM) for settlement**
- **Type of Participants**
 - o **Domestic**
Custodian (8), Brokers (5)

FULL TIME EMPLOYEES: 15 (AS ON 31-Dec-19)

ANNUAL REVENUE

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|-------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 30.190 | 31.738 | 49.944 |
| Other Income | 4.604 | 4.494 | 5.845 |
| | 34.794 | 36.232 | 55.789 |

LINKS WITH OTHER CSDs

- CSD has no links with other CSD

STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | | As on 31-Dec-18 | | As on 31-Dec-19 | |
|---------------------------------------|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 900 | | 8 | | 12 | |
| Omnibus Accounts | 10 | | 8 | | 8 | |
| Number of Participants | | | | | | |
| Domestic Participants | 7 | | 11 | | 13 | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 59 | - | 43 | - | 11 | - |
| Debt (corporate) | 8 | - | 10 | 10 | 25 | 1 |

in USD (in millions i.e., '000000)

| Particulars | As on 31-Dec-17 | | As on 31-Dec-18 | | As on 31-Dec-19 | |
|--|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Conversion Rate | 2.613 | | 2.670 | | 2.860 | |
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 0.000 | | 0.000 | | 0.000 | |
| Value of Instructions | 57.403 | | 104.185 | | 199.258 | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | 0.000 | | 0.000 | | 0.000 | |
| Value of Corporate action | 0.000 | | 0.000 | | 0.055 | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 38.269 | - | 0.926 | - | 0.467 | - |
| Debt (corporate) | 95.672 | - | 385.417 | - | 420.127 | 100.000 |

OTHER SERVICES (AS ON 31-Dec-19)

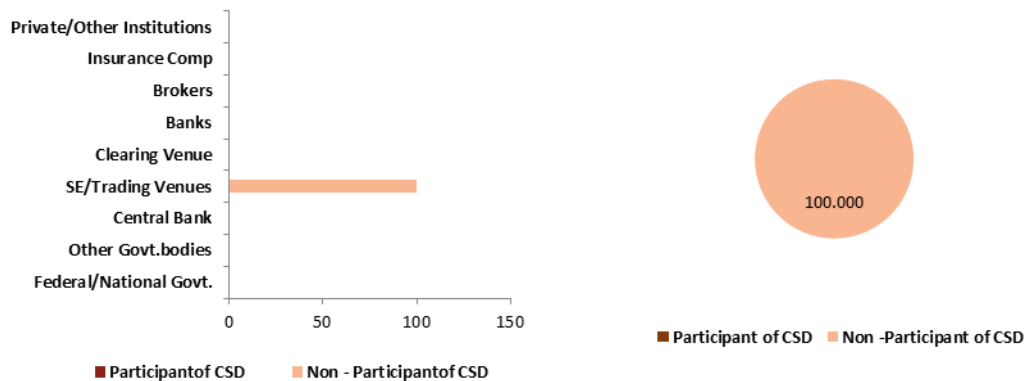
- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify)

❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **LEI Number:** 213800T8UR2VI6Q2RH18
- **Local Currency:** Euro (EUR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **CSD is owned or controlled by Stock Exchange**
- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure: Beneficial Owner**
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- **CSD or its group company does not have banking license**
- **CSD has DVP solution**
- **CSD offers both Commercial Bank money and Central Bank money for settlement**

- Type of Participants

- Domestic
Custodian (34)
- Non-domestic
Custodian (15)

❑ **FULL TIME EMPLOYEES: 86 (AS ON 31-Dec-19)**

❑ ANNUAL REVENUE

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|-------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 13,186.478 | 12,074.773 | 17,416.447 |
| Other Income | 167.981 | 280.992 | 216.572 |
| | 13,354.458 | 12,355.766 | 17,633.019 |

❑ LINKS WITH OTHER CSDs

- CSD has links with other CSD

- Number of Links with other CSDs - 4
 - Only Outbound – 2 (Only Direct)
 - Both Inbound and Outbound – 1 (Only Direct)
 - Only Outbound – 1 (Only Indirect)
- Purpose of Links with other CSDs
 - Only FOP – 1(Only Direct)
 - Both DVP & FOP - 2 (Only Direct)
 - Both DVP & FOP - 1 (Only Indirect)

❑ STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|---------------------------------------|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 1,493,499 | 1,267,999 | 1,253,644 | | | |
| Number of Participants | | | | | | |
| Domestic Participants | 42 | 37 | 34 | | | |
| Non-domestic Participants | 14 | 14 | 15 | | | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 210 | 695 | 199 | 719 | 183 | 921 |
| CIV | 1 | - | - | - | - | - |
| Debt (Federal/ National Govt.) | 37 | - | 28 | - | 25 | - |
| Debt (corporate) | 9 | - | 12 | 1 | 14 | - |
| Others | - | - | 1 | - | 1 | - |

in USD (in millions i.e., '000000)

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|--|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Conversion Rate | 0.833 | 0.886 | 0.882 | | | |
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 4.547 | 5.281 | 7.007 | | | |
| Value of Instructions | 32,691.911 | 34,726.822 | 44,627.249 | | | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | 0.002 | 0.002 | 0.002 | | | |
| Value of Corporate action | 17,597.712 | 12,191.738 | 19,540.291 | | | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |

| | | | | | | |
|--------------------------------|------------|---------|------------|---------|------------|-----------|
| Equities | 51,820.855 | 454.628 | 50,811.422 | 388.018 | 56,069.942 | 1,021.273 |
| CIV | 15.851 | - | - | - | - | - |
| Debt (Federal/ National Govt.) | 775.686 | - | 657.612 | - | 582.601 | - |
| Debt (corporate) | 891.475 | - | 1,078.266 | 0.051 | 1,614.468 | - |
| Others | - | - | 11.528 | - | 21.746 | - |

❑ OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify)

❑ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

Regulation (EU) 909/2014 (CSDR) - Strategic adaptation of ATHEXCSD to the new environment

ATHEXCSD actively participates in the adaptation of the Greek capital market to the new environment, especially concerning the licensing of the company in accordance with the CSDR Regulation in 2019. An important development in that direction is the publication of law 4569/2018 "I) Central Securities Depositories, II) Adaptation of Greek law to the provisions of Directive (EU) 2016/2258 and other provisions, and III) other provisions of the Ministry of Finance" (Government Gazette 179/11.10.2018).

In particular, in 2019 ATHEXCSD actively participated in the following tasks:

- a) Implementation of compliance actions by ATHEXCSD in the context of its licensing process in accordance with the CSDR Regulation and law 4548/2018, in order for the Hellenic Capital Market Commission to signal that the licensing dossier is complete, by 31.03.2020. At the same time the consultation with all stakeholders was completed, in order to finalize the design of the necessary adjustment of the (core and ancillary) services by ATHEXCSD (to Operators, Issuers and Investors), and the formulation of the new Regulation of Operation of the company in accordance with article 4 of law 4547/201 in the new environment under the CSDR Regulation.
- b) Review the CSDR Level 2 regulatory & technical standards concerning the implementation of measures to deal with settlement discipline in order to analyze the effects and draft / implement compliance measures for ATHEXCSD.
- c) Publication and implementation of all decisions required with respect to the timely implementation within the period November 2018 - July 2019 of the actions/tasks specified

in paragraphs 7, 8 and 9 of Article 29 of Law 4569/2018 (Government Gazette 179A of 11.10.2018), which relate to the forced sales of securities maintained in the special accounts of the CSD after the deadlines included in the Law.

Participation in the project to consolidate the Eurosystem Target2 services (“T2/T2S Consolidation”)

The project concerns the consolidation of the Target2, T2S and TIPS services of the Eurosystem, both technically and operationally, in a new consolidated platform (T2/T2S Consolidation). The goal of the new consolidated platform is to respond to the changing needs of the market, replacing Target2 with a new Real Time Settlement System (RTGS), optimizing liquidity management across all Target2 services.

The participation of the Group in the above project concerns the appropriate and timely adjustment of the ATHEXCSD and ATHEXCclear services to the planned consolidated Target2 services platform (“T2/T2S Consolidation”). In 2019 the detailed evaluation of the business and technical implications began on the timely adaptation of the ATHEXCSD / ATHEXCclear systems and processes to the new consolidated Target2 services platform.

Project to update DSS Account information by Operators, in accordance with Decisions 1/736/2.11.2015 (Government Gazette B’ 2558/26.11.2015) & 7/759/29.6.2016 (Government Gazette B’ 2130/11.07.2016) of the Board of Directors of the Hellenic Capital Market Commission and Decision 6/27.06.2016 of the Board of Directors of ATHEXCSD, in effect since 30.06.2016

In accordance with the relevant decisions of the Board of Directors of the Hellenic Capital Market Commission and ATHEXCSD, in 2019 periodic (monthly and every 4 months) audits were planned and carried out on the correctness of the registrations in the active Investor Shares in the Dematerialized Securities System (DSS) by ATHEXCSD and corresponding provision of information to DSS Operators, in order for the relevant data maintained in DSS to be updated in accordance with the existing regulatory framework.

Completing the necessary adaptations to fulfill the obligations of the companies of the Athens Exchange Group and of Participants in the Greek market, especially ATHEXCSD and DSS Operators, concerning the automatic exchange of financial information in accordance with relevant legislation

The relevant tasks and projects concern:

- a) The agreement between Greece and the USA to apply FATCA (Foreign Account Tax Compliance Act), as incorporated into Greek law with Law 4493/2017 (Government Gazette A’ 164/31.10.2017).
- b) Regulation 2011/16/EU as amended by Regulation 2014/107/EU, and incorporated into Greek law with Law 4170/2013 and Law 4378/2016.
- c) The OECD Multilateral Competent Authority Agreement (Common Reference Standard), as incorporated into Greek law with law 4428/2016.

Developing the AXIAlei service

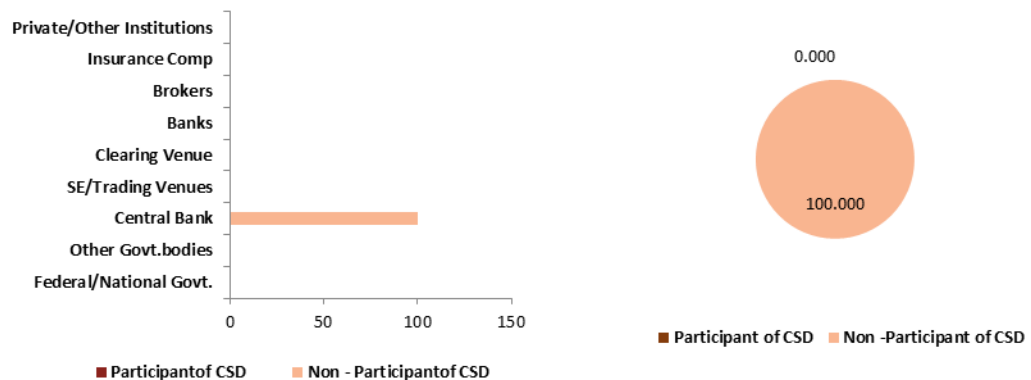
Responding to the requirement that all legal entities that carry out transactions on transferable securities starting on 3.1.2018 need to issue a Legal Entity Identifier (LEI) code, in accordance with the relevant declaration by ESMA of 27.12.2017 and the Hellenic Capital Market Commission as part of the application of the MiFID II Directive and the MiFIR Regulation, ATHEXCSD successfully provided this service (AXIAlei) by issuing, renewing or transferring about 2,000 LEI codes.

❑ BASIC INFORMATION

- **Regional Association:** ACG
- **Local Currency:** Hong Kong Dollar (HKD)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **CSD is owned or controlled by Central Bank**
- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are not traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure: Beneficial Owner (Omnibus accounts can also be opened)**
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** - Government Debt
 - Immobilized form** - Corporate Debt
- **CSD or its group company does not have banking license**
- **CSD has DVP solution**
- **CSD offers both Commercial Bank money and Central Bank money for settlement**
- **Type of Participants**
 - **Domestic**
Non-custodian Banks (144), Asset Managers (24), Others (53)

FULL TIME EMPLOYEES: 20 (AS ON 31-Dec-19)

ANNUAL REVENUE

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|-------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 10,495.149 | 11,900.581 | 13,829.588 |
| Other Income | - | - | - |
| | 10,495.149 | 11,900.581 | 13,829.588 |

LINKS WITH OTHER CSDs

- CSD has links with other CSD
 - o Number of Links with other CSDs - 8
 - Only Inbound – 1 (Only Direct)
 - Only Outbound – 2 (Only Direct)
 - Both Inbound and Outbound – 5 (Only Direct)
 - o Purpose of Links with other CSDs
 - Only DVP – 2 (Only Direct)
 - Both DVP & FOP - 6 (Only Direct)

STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | | As on 31-Dec-18 | | As on 31-Dec-19 | |
|---------------------------------------|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | - | | 223 | | 221 | |
| Omnibus Accounts | 201 | | 921 | | 1,334 | |
| Number of Participants | | | | | | |
| Domestic Participants | 0 | | 223 | | 221 | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Debt (Federal/ National Govt.) | - | - | 117 | 45 | 110 | 43 |
| Debt (Other Govt. bodies) | - | - | 85 | - | 85 | - |
| Debt (corporate) | - | - | 302 | 1,275 | 277 | 1,003 |

in USD (in millions i.e., '000000)

| Conversion Rate | 7.812 | | 7.829 | | 7.750 | |
|--|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 0.059 | | 0.042 | | 0.032 | |
| Value of Instructions | 513,898.080 | | 540,329.142 | | 577,904.659 | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | 0.000 | | 0.006 | | 0.022 | |
| Value of Corporate action | 0.000 | | 842,654.761 | | 512,851.313 | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 0.000 | - | 0.000 | - | 0.000 | - |
| Debt (Federal/ National Govt.) | - | - | 147,606.665 | 14,807.170 | 151,110.638 | 15,136.548 |
| Debt (Other Govt. bodies) | - | - | 3,698.344 | - | 4,076.232 | - |
| Debt (corporate) | - | - | 15,827.549 | 74,670.635 | 15,618.996 | 66,764.989 |

OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services

- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify)

MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

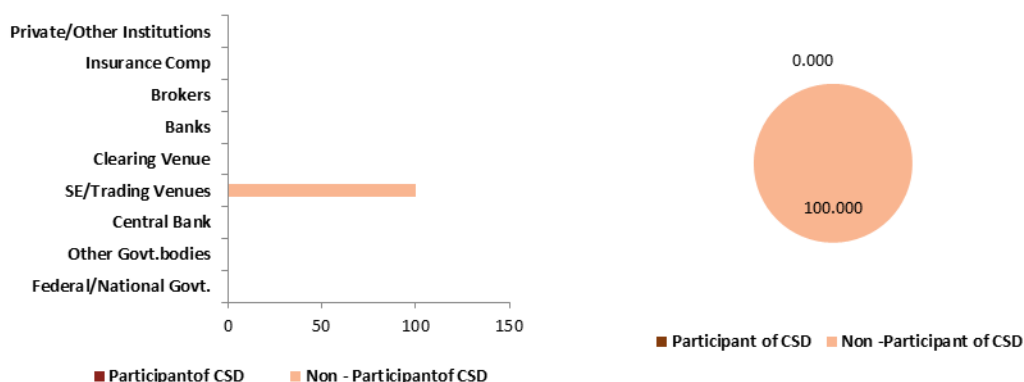
Further to the launch of Bond Connect Northbound scheme in 2017, the CMU has continued to implement various system and service enhancements to raise the settlement efficiency and to streamline the operation processing of the Bond Connect linkage service. Major enhancements in 2019 include the expansion of the number of custody accounts under each CMU participant and the further extension of cutoff time for sending Bond Connectsettlement instructions to the CMU.

❑ BASIC INFORMATION

- **Regional Association:** ACG
- **LEI Number:** 12793889-000-05-20-7
- **Local Currency:** Hong Kong Dollar (HKD)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **CSD is owned or controlled by Stock Exchange**
- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure: Omnibus (Beneficial Owner account can also be opened)**
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** Collective Investment Vehicles, Government Debt, Corporate Debt, Others
- **CSD or its group company does not have banking license**
- **CSD has DVP solution**
- **CSD uses external Commercial Bank money (CoBM) for settlement**

- **Type of Participants**

- **Domestic**
Custodian (20), Non-custodian Banks (2), Brokers (641), Others (25713)
- **Non-domestic**
Custodian (16), Non-custodian Banks (4), Others (182)

□ **FULL TIME EMPLOYEES: 200 (AS ON 31-Dec-19)**

□ **ANNUAL REVENUE**

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 382,498.179 | 472,258.065 | 466,622.374 |
| Other Income | 122,122.912 | 191,741.935 | 210,799.270 |
| | 504,621.091 | 664,000.000 | 677,421.644 |

□ **LINKS WITH OTHER CSDs**

- **CSD has links with other CSD**
 - **Number of Links with other CSDs - 4**
 - Both Inbound and Outbound – 2 (Only Direct)
 - Both Inbound and Outbound –2 (Only Indirect)
 - **Purpose of Links with other CSDs**
 - Only DVP – 2 (Only Direct)
 - Only FOP – 1 (Only Indirect)
 - Both DVP & FOP - 1 (Only Indirect)

□ **STATISTICS & VOLUME**

| Particulars | As on 31-Dec-17 | | As on 31-Dec-18 | | As on 31-Dec-19 | |
|---------------------------------------|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 25,393 | | 25,667 | | 25,889 | |
| Omnibus Accounts | 651 | | 669 | | 689 | |
| Number of Participants | | | | | | |
| Domestic Participants | 625 | | 26,130 | | 26,376 | |
| Non-domestic Participants | 24 | | 206 | | 202 | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 2,118 | 1,825 | 2,315 | 1,995 | 2,449 | 2,160 |
| CIV | 201 | - | 226 | - | 228 | - |
| Debt (Federal/ National Govt.) | 60 | - | 52 | - | 46 | - |
| Debt (Other Govt. bodies) | 42 | - | 39 | - | 35 | - |
| Debt (corporate) | - | - | - | - | 1 | - |
| Others | 9,658 | - | 9,812 | - | 9,231 | - |

in USD (in millions i.e., '000000)

| Particulars | 7.812 | 7.750 | 7.751 |
|--|---------------|-------------|------------|
| Conversion Rate | | | |
| Settlement Instruction (During the year) | | | |
| Number of Instructions | 34.000 | 37.720 | 35.488 |
| Value of Instructions | 5,893,488.286 | 7.183 | 6.995 |
| Corporate Action Events (During the year) | | | |
| Number of Events handled by CSD | 0.015 | 0.015 | 0.016 |
| Value of Corporate action | 161,594.087 | 158,998.416 | 15,880.900 |
| Value on Deposit | | | |

| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
|--------------------------------|---------------|------------|----------|---------|----------|---------|
| Equities | 2,667,470.228 | 80,427.027 | 2.270 | 0.096 | 2.841 | 0.203 |
| CIV | 81,360.742 | - | 0.077 | - | 0.075 | - |
| Debt (Federal/ National Govt.) | 691.006 | 3.200 | 0.000 | - | 0.000 | - |
| Debt (Other Govt. bodies) | 0.384 | - | 0.000 | - | 0.000 | - |
| Debt (corporate) | - | - | - | - | 0.000 | - |
| Others | 36,914.659 | - | 0.018 | - | 0.023 | - |

OTHER SERVICES (AS ON 31-Dec-19)

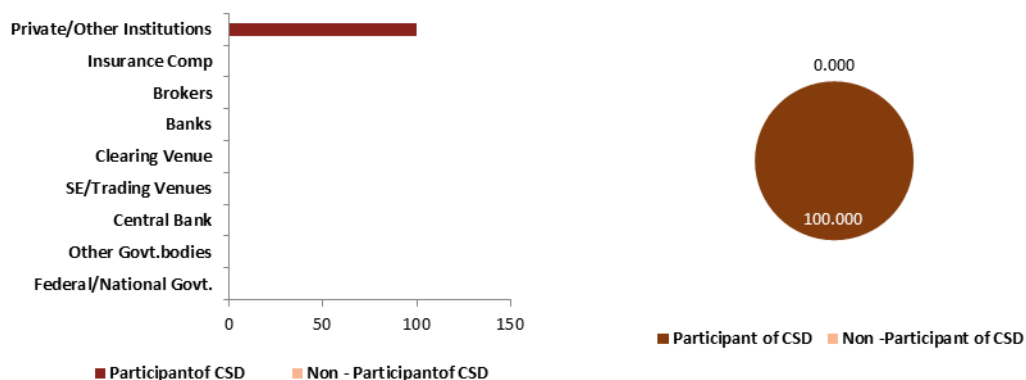
- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify)

❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **LEI Number:** 959800DN0D5DXFUBNB37
- **Local Currency:** Euro (EUR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Holding Company that also owns other FMIs
- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner (Omnibus accounts can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** Equity, Corporate Debt
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD settles in Central Bank money

- Type of Participants

- **Domestic**
Custodian (51), Non-custodian Banks (1)
- **Non-domestic**
Custodian (19)

□ FULL TIME EMPLOYEES: 101 (AS ON 31-Dec-19)
□ LINKS WITH OTHER CSDs

- **CSD has links with other CSD**
 - **Number of Links with other CSDs - 8**
 - Only Outbound – 3 (Only Direct)
 - Both Inbound and Outbound – 5 (Only Direct)
 - **Purpose of Links with other CSDs**
 - Only FOP – 2 (Only Direct)
 - Both DVP & FOP - 6 (Only Direct)

□ STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|--|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| <u>Number of accounts held by CSD</u> | | | | | | |
| Beneficial Owner Accounts | 461 | 485 | 528 | | | |
| Omnibus Accounts | 212 | 217 | 228 | | | |
| <u>Number of Participants</u> | | | | | | |
| Domestic Participants | 76 | 55 | 52 | | | |
| Non-domestic Participants | 17 | 15 | 19 | | | |
| <u>Number of eligible issues</u> | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 1,610 | 1,823 | 1,509 | 1,581 | 1,280 | 2,031 |
| CIV | 2,996 | 20 | 2,810 | 20 | 2,645 | 20 |
| Debt (Federal/ National Govt.) | 488 | 9 | 476 | 136 | 481 | 1,777 |
| Debt (corporate) | 2,259 | - | 2,128 | - | 2,105 | 23 |

in USD (in millions i.e., '000000)

| Conversion Rate | 0.833 | 0.854 | 0.853 | | | |
|--|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| <u>Settlement Instruction (During the year)</u> | | | | | | |
| Number of Instructions | 8.225 | 9.207 | 9.392 | | | |
| Value of Instructions | 50,770,466.278 | 34,235,623.803 | 37,812,417.522 | | | |
| <u>Value on Deposit</u> | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 861,238.943 | 4,130.391 | 733,239.895 | 2,884.992 | 828,263.749 | 3,023.116 |
| CIV | 152,537.731 | 1,751.798 | 129,482.066 | 1,036.998 | 137,680.189 | 578.526 |
| Debt (Federal/ National Govt.) | 1,180,954.923 | 581.933 | 1,206,706.929 | 6,841.541 | 1,231,059.968 | 9,777.190 |
| Debt (corporate) | 617,798.314 | - | 569,101.004 | - | 562,663.740 | 59.120 |

□ OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services

- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify)

MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

IBERCLEAR obtained authorization to continue providing services as a Central Securities Depository (CSD), pursuant to Article 17 of the Regulation (UE) 909/2014 on improving securities settlement in the European Union and on central securities depositories.

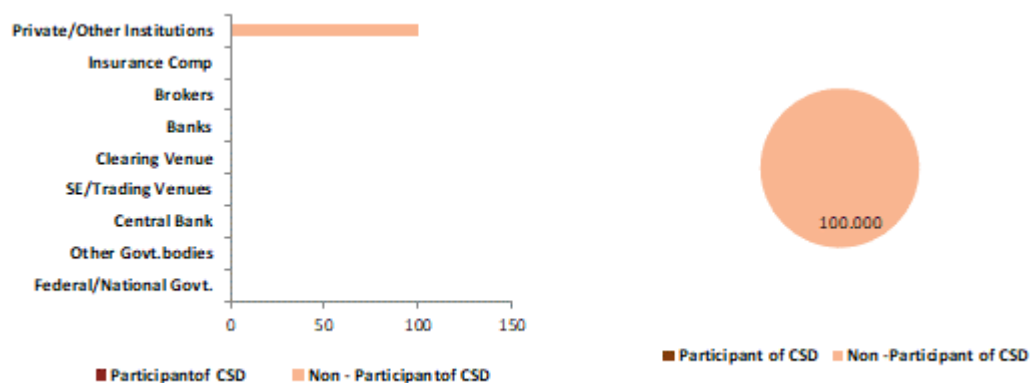
❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **LEI Number:** 9695005903WM8LGWIQ64
- **Local Currency:** Euro (EUR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI.**

- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure: Beneficial Owner (Omnibus accounts can also be opened)**

- **Financial Instruments accepted for deposit and/or settlement:**

- Equities
- Collective Investment Vehicles
- Government Debt
- Corporate Debt
- Others

- **Financial Instruments held in**
Dematerialized form Corporate Debt
Immobilized form -

- **CSD or its group company does not have banking license**
- **CSD has DVP solution**
- **CSD settles in Central Bank money**

- **Type of Participants**

o **Domestic**

Custodian (6), Non-custodian Banks (7)

FULL TIME EMPLOYEES: 15 (AS ON 31-Dec-19)

ANNUAL REVENUE

| | in USD (in thousands i.e., '000) | | |
|--------------------------------|----------------------------------|------------------------|------------------------|
| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
| Revenue from Operations | 0.000 | 0.000 | 0.000 |
| Other Income | - | - | - |
| | 0.000 | 0.000 | 0.000 |

LINKS WITH OTHER CSDs

- CSD has no links with other CSD

STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | | As on 31-Dec-18 | | As on 31-Dec-19 | |
|---------------------------------------|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | - | - | - | - | 5 | 5 |
| Omnibus Accounts | - | - | - | - | 15 | 15 |
| Number of Participants | | | | | | |
| Domestic Participants | 0 | - | - | - | 13 | 13 |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Debt (corporate) | - | - | - | - | 12 | - |

| | in USD (in millions i.e., '000000) | | | | | |
|--|------------------------------------|----------------|-----------------|----------------|-----------------|----------------|
| Conversion Rate | 0.000 | 0.000 | 0.000 | 0.000 | 0.860 | 0.860 |
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 |
| Value of Instructions | 0.000 | 0.000 | 0.000 | 0.000 | 55.791 | 55.791 |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 |
| Value of Corporate action | 0.000 | 0.000 | 0.000 | 0.000 | 8.136 | 8.136 |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 0.000 | - | 0.000 | - | 0.000 | - |

OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above

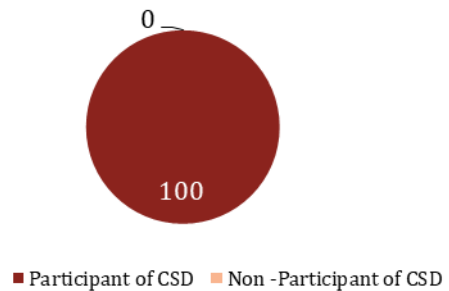
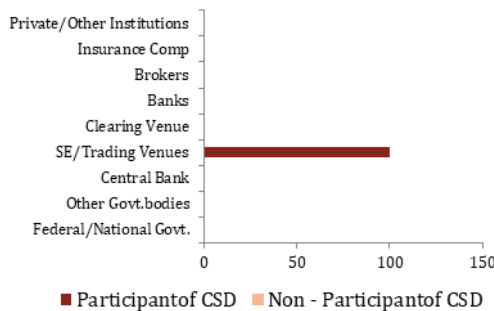
- Others (Please specify): ID2S provides Issuance and Distribution services, Safekeeping and Custody services, Securities Settlement services, and selected Middle Office Post-Trade services

❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **LEI Number:** 5299000J2N45DDNE4Y28
- **Local Currency:** Euro (EUR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **CSD is owned or controlled by Holding Company that also owns other FMIs**
- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
- **CSD or its group company does not have banking license**
- **CSD has DVP solution**
- **CSD offers both Commercial Bank money and Central Bank money for settlement**
- **Type of Participants**
 - Domestic

Non-custodian Banks (31), Others (6)

○ **Non-domestic**

Non-custodian Banks (6), Others (4)

□ **FULL TIME EMPLOYEES: 40 (AS ON 31-Dec-19)**

□ **ANNUAL REVENUE**

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 24,682.907 | 25,483.255 | 25,733.597 |
| Other Income | 287.603 | 301.064 | 194.109 |
| | 24,970.511 | 25,784.319 | 25,927.706 |

□ **LINKS WITH OTHER CSDs**

- **CSD has links with other CSD**

○ **Number of Links with other CSDs - 4**

- Only Inbound – 1 (Only Direct)
- Only Outbound – 2 (Only Direct)
- Only Outbound – 1 (Only Indirect)

○ **Purpose of Links with other CSDs**

- Both DVP & FOP - 3 (Only Direct)
- Both DVP & FOP - 1 (Only Indirect)

□ **STATISTICS & VOLUME**

| Particulars | As on 31-Dec-17 | | As on 31-Dec-18 | | As on 31-Dec-19 | |
|---------------------------------------|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Omnibus Accounts | 699 | | 636 | | 651 | |
| Number of Participants | | | | | | |
| Domestic Participants | 31 | | 35 | | 37 | |
| Non-domestic Participants | 5 | | 8 | | 10 | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 467 | 6 | 462 | 6 | 449 | 6 |
| CIV | 28 | 12 | 31 | 12 | 50 | 11 |
| Debt (Federal/ National Govt.) | 31 | - | 33 | - | 32 | - |
| Debt (corporate) | 697 | - | 655 | 1 | 646 | 1 |
| Others | 24 | 1,165 | 22 | 1,078 | 21 | 1,311 |

in USD (in millions i.e., '000000)

| | | | | | | |
|--|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Conversion Rate | 0.833 | | 0.843 | | 0.843 | |
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 1.122 | | 1.066 | | 1.089 | |
| Value of Instructions | 344,596.620 | | 307,388.584 | | 307,484.280 | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | 0.007 | | 0.007 | | 0.006 | |
| Value of Corporate action | 63,695.847 | | 61,601.859 | | 64,017.915 | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 118,763.149 | 7,313.556 | 107,966.170 | 8,053.617 | 116,711.995 | 10,874.936 |
| CIV | 1,038.519 | 31.224 | 1,175.597 | 15.706 | 1,433.562 | 19.856 |
| Debt (Federal/ National Govt.) | 169,708.628 | - | 176,567.422 | - | 181,469.395 | - |

| | | | | | | |
|------------------|-------------|---------|-------------|---------|-------------|-----------|
| Debt (corporate) | 108,520.190 | - | 106,071.334 | 0.119 | 100,324.899 | 0.144 |
| Others | 2,710.322 | 497.849 | 2,310.801 | 438.765 | 3,182.726 | 2,306.512 |

OTHER SERVICES (AS ON 31-Dec-19)

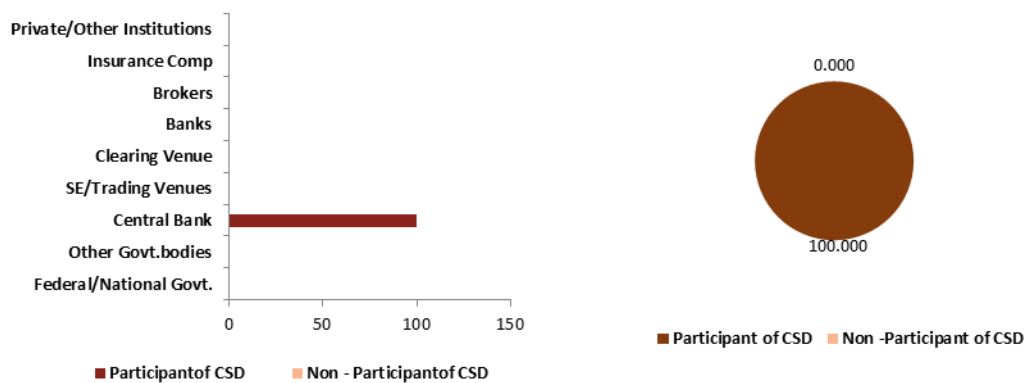
- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify): -

❑ BASIC INFORMATION

- **Regional Association:** ACSDA
- **Local Currency:** Jamaican Dollar (JMD)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **CSD is owned or controlled by Central Bank**
- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are not traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure: Beneficial Owner**
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Government Debt
 - Immobilized form** -
- **CSD or its group company does not have banking license**
- **CSD has DVP solution**
- **CSD settles in Central Bank money**
- **Type of Participants**
 - **Domestic**
 - Custodian (1), Non-custodian Banks (9), Brokers (28), Others (1)

FULL TIME EMPLOYEES: 12 (AS ON 31-Dec-19)

ANNUAL REVENUE

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 209.351 | 157.416 | 143.925 |
| Other Income | - | - | - |
| | 209.351 | 157.416 | 143.925 |

LINKS WITH OTHER CSDs

- CSD has no links with other CSD

STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | | As on 31-Dec-18 | | As on 31-Dec-19 | |
|---------------------------------------|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 30,780 | | 29,697 | | 28,795 | |
| Number of Participants | | | | | | |
| Domestic Participants | 39 | | 39 | | 39 | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 0 | - | 0 | - | 0 | - |
| Debt (Federal/ National Govt.) | 39 | - | 39 | - | 33 | - |
| Debt (Other Govt. bodies) | 130 | - | 173 | - | 95 | - |

in USD (in millions i.e., '000000)

| Particulars | As on 31-Dec-17 | | As on 31-Dec-18 | | As on 31-Dec-19 | |
|--|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Conversion Rate | | | | | | |
| | 123.983 | | 127.392 | | 132.511 | |
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 0.056 | | 0.045 | | 0.043 | |
| Value of Instructions | 0.141 | | 0.169 | | 0.114 | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | 0.025 | | 0.025 | | 0.017 | |
| Value of Corporate action | 58,014.006 | | 73,543.670 | | 40,635.772 | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 0.000 | - | 0.000 | - | 0.000 | - |
| Debt (Federal/ National Govt.) | 6,051.587 | - | 5,875.565 | - | 5,613.871 | - |
| Debt (Other Govt. bodies) | 1,437.319 | - | 1,131.561 | - | 814.052 | - |

OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify):

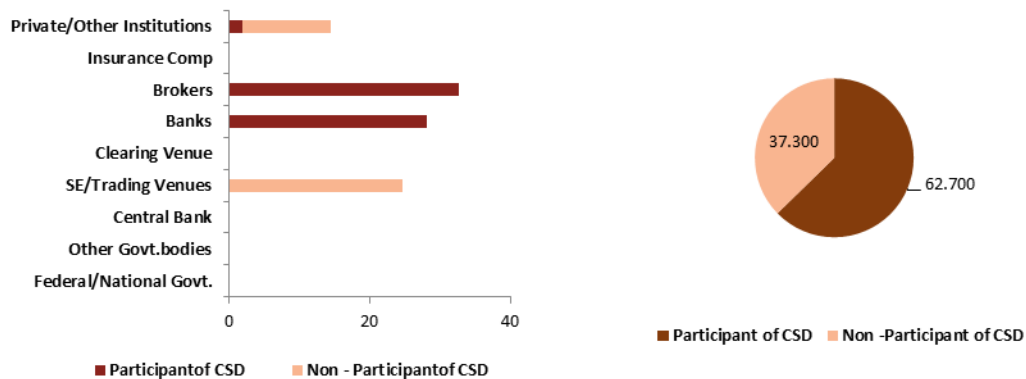
❑ BASIC INFORMATION

- **Regional Association:** ACG
- **Local Currency:** Japanese YEN (JPY)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **CSD is owned or controlled by Stock Exchange**

- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are not traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus

- **Financial Instruments accepted for deposit and/or settlement:**

- Equities
- Collective Investment Vehicles
- Government Debt
- Corporate Debt
- Others

- **Financial Instruments held in**

Dematerialized form Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others

Immobilized form -

- **CSD or its group company does not have banking license**
- **CSD has DVP solution**
- **CSD settles in Central Bank money**

- **Type of Participants**

- **Domestic**
Custodian (3), Non-custodian Banks (60), Brokers (146), Asset Managers (22), Others (20)
- **Non-domestic**
Custodian (2), Non-custodian Banks (1), Brokers (4)

❑ **FULL TIME EMPLOYEES: 220 (AS ON 31-Dec-19)**

❑ **ANNUAL REVENUE**

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 199,247.925 | 219,231.810 | 230,104.975 |
| Other Income | 355.039 | 396.718 | 492.926 |
| | 199,602.964 | 219,628.528 | 230,597.901 |

❑ **LINKS WITH OTHER CSDs**

- **CSD has links with other CSD**
 - **Number of Links with other CSDs - 3**
 - Only Outbound – 3 (Only Direct)
 - **Purpose of Links with other CSDs**
 - Only FOP – 3 (Only Direct)

❑ **STATISTICS & VOLUME**

| Particulars | As on 31-Dec-17 | | As on 31-Dec-18 | | As on 31-Dec-19 | |
|---------------------------------------|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 260 | | 260 | | 258 | |
| Omnibus Accounts | 241 | | 241 | | 239 | |
| Number of Participants | | | | | | |
| Domestic Participants | 260 | | 253 | | 251 | |
| Non-domestic Participants | - | | 7 | | 7 | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 3,777 | 56 | 4,198 | 5 | 4,237 | 3 |
| CIV | 11,703 | 26 | 12,084 | 26 | 12,660 | 25 |
| Debt (Federal/ National Govt.) | - | 49 | - | 62 | - | 68 |
| Debt (Other Govt. bodies) | 8,795 | 27 | 9,195 | 33 | 9,573 | 31 |
| Debt (corporate) | 55,643 | 258 | 62,077 | 345 | 67,142 | 331 |

in USD (in millions i.e., '000000)

| | | | | | | |
|--|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Conversion Rate | 112.664 | 110.910 | 109.550 | | | |
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 121.612 | 127.966 | 121.502 | | | |
| Value of Instructions | 32,274,882.655 | 20,928,651.114 | 19,965,141.999 | | | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | 0.070 | 0.070 | 0.070 | | | |
| Value of Corporate action | 0.000 | 0.000 | 0.000 | | | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 6,314,915.190 | 3,578.101 | 5,760,198.197 | 50,621.179 | 6,716,665.815 | 26,956.102 |
| CIV | 1,734,916.590 | 318.088 | 548,411.081 | 31,873.916 | 614,828.325 | 39,513.373 |
| Debt (Federal/ National | - | 16,669.972 | - | 21,305.563 | - | 23,809.220 |

| | | | | | | |
|---------------------------|---------------|------------|---------------|------------|---------------|------------|
| Govt.) | | | | | | |
| Debt (Other Govt. bodies) | 1,430,160.064 | 4,521.423 | 1,474,094.257 | 6,510.603 | 1,501,382.118 | 5,989.548 |
| Debt (corporate) | 931,330.768 | 62,376.814 | 1,105,459.904 | 74,051.348 | 1,179,386.052 | 69,899.954 |

❑ OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify): Yes (Pre-Settlement Matching System /PSMS)

❑ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

- Implementation of Shortening of Stock Settlement Cycle (T+2)
- Please refer to the website for more information :-
https://www.jsda.or.jp/en/activities/research-studies/html/t2_final_report.html

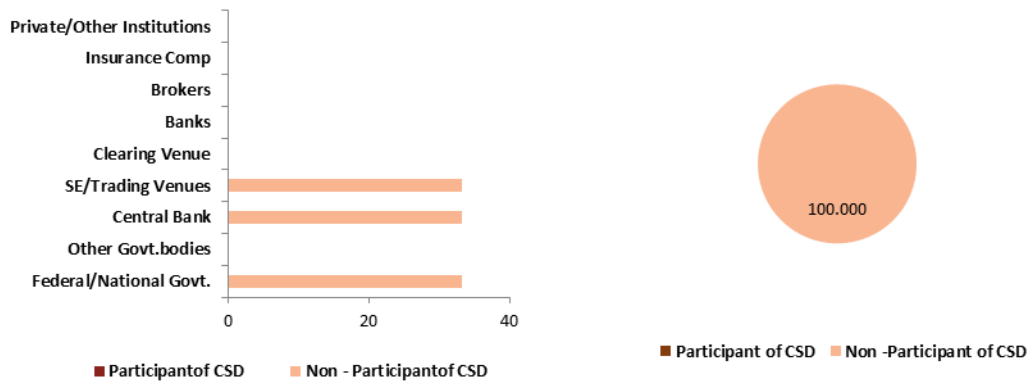
❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **LEI Number:** 259400L3KBYEVNHEJF55
- **Local Currency:** Polish Zloty (PLN)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI. KDPW is co-owned by the Polish State Treasury, Polish Central Bank and the Warsaw Stock Exchange, but none of them has a controlling stake.

- Shareholding Pattern (in %)



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus (Beneficial Owner account can also be opened)

- Financial Instruments accepted for deposit and/or settlement:

- Equities
- Collective Investment Vehicles
- Government Debt
- Corporate Debt
- Others

- Financial Instruments held in

- Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
- Immobilized form** -

- CSD or its group company does not have banking license
- CSD has DVP solution

- **CSD settles in Central Bank money**

- **Type of Participants**

- **Domestic**
Custodian (14), Non-custodian Banks (24), Brokers (19), Others (1)
- **Non-domestic**
Others (2)

□ **FULL TIME EMPLOYEES: 189 (AS ON 31-Dec-19)**

□ **ANNUAL REVENUE**

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 33,592.623 | 33,045.289 | 33,424.098 |
| Other Income | 1,205.889 | 1,350.792 | 1,444.493 |
| | 34,798.512 | 34,396.081 | 34,868.591 |

□ **LINKS WITH OTHER CSDs**

- **CSD has links with other CSD**

- **Number of Links with other CSDs - 9**
 - Only Inbound – 2 (Only Direct)
 - Only Outbound – 5 (Only Direct)
 - Only Outbound – 2 (Only Indirect)
- **Purpose of Links with other CSDs**
 - Only DVP – 2 (Only Direct)
 - Only FOP – 5 (Only Direct)
 - Only FOP – 2(Only Indirect)

□ **STATISTICS & VOLUME**

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|---------------------------------------|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 255 | 618 | 821 | | | |
| Omnibus Accounts | 33,707 | 42,934 | 46,672 | | | |
| Number of Participants | | | | | | |
| Domestic Participants | 69 | 61 | 58 | | | |
| Non-domestic Participants | 3 | 2 | 2 | | | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 1,019 | 24 | 1,009 | 68 | 993 | 65 |
| CIV | 40 | - | 40 | 3 | 215 | 3 |
| Debt (Federal/ National Govt.) | 308 | - | 347 | - | 372 | - |
| Debt (Other Govt. bodies) | 6 | - | 78 | - | 829 | - |
| Debt (corporate) | 534 | 14 | 691 | 1,199 | 877 | 1,572 |
| Others | 221 | 442 | 1 | 6 | 4 | - |

in USD (in millions i.e., '000000)

| Conversion Rate | 3.483 | 3.746 | 3.746 |
|---|---------------|----------------|----------------|
| Settlement Instruction (During the year) | | | |
| Number of Instructions | 9.555 | 7.792 | 6.707 |
| Value of Instructions | 3,183,567.137 | 14,983,706.937 | 15,525,141.019 |

| Corporate Action Events (During the year) | | | | | | |
|--|-------------|-----------|-------------|-----------|-------------|-----------|
| Number of Events handled by CSD | 0.004 | | 0.004 | | 0.004 | |
| Value of Corporate action | 9,820.531 | | 0.000 | | 0.000 | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 186,614.199 | 5,786.258 | 146,826.573 | 6,509.697 | 139,363.846 | 6,482.201 |
| CIV | 848.142 | - | 521.630 | 38.708 | 1,163.390 | 41.378 |
| Debt (Federal/ National Govt.) | 192,098.410 | - | 185,503.811 | - | 192,623.767 | - |
| Debt (Other Govt. bodies) | 6,191.379 | - | 3,961.078 | - | 5,139.417 | - |
| Debt (corporate) | 10,438.979 | 57.998 | 21,809.688 | 1,060.612 | 22,571.844 | 2,648.460 |
| Others | 5,228.677 | 536.961 | - | 1,264.566 | - | - |

❑ OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify): ARM services, administration of the Investor Compensation Scheme, administration of the Pension Guarantee Fund

❑ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

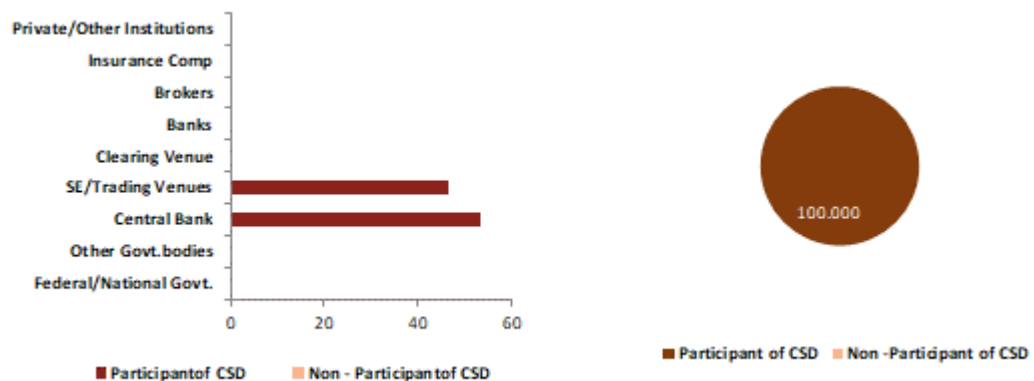
- In July 2019 KDPW introduced solutions for registration and servicing of non-public securities in the depository system, and for reporting of issues registered outside the depository system and publication of relevant data on the KDPW website. In October 2019 KDPW and KIR (National Clearing House) signed strategic co-operation agreement to support development of the Polish financial innovation sector, including development of a sandbox to implement projects using DLT. In September 2019 the Blockchain Platform for the Capital Market was launched by KDPW, for entities operating in capital market as a basis of the infrastructure creating a secure and dependable ecosystem for cooperation in post-trade services. eVoting application was the first of services offered by KDPW on the Blockchain Platform. It supports GMs of public companies, including voting using digital devices. In October 2019 KDPW implemented corporate actions messages in ISO 20022 for events: PCAL, BIDS, LIQU, DVOP and RHDI.

❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **LEI Number:** 529900MPT6BHOJRPB746
- **Local Currency:** Hungarian Forint (HUF)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **The CSD is owned and controlled by the Stock Exchange and the Central Bank**
- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are not traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus (Beneficial Owner account can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- **CSD or its group company have banking license**
- **CSD has DVP solution**
- **CSD offers both Commercial Bank money and Central Bank money for settlement**

❑ FULL TIME EMPLOYEES: 161 (AS ON 31-Dec-19)

□ ANNUAL REVENUE

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 17,442.156 | 19,780.259 | 21,279.995 |
| Other Income | 5,925.491 | 1,030.928 | 1,298.348 |
| | 23,367.647 | 20,811.187 | 22,578.343 |

□ LINKS WITH OTHER CSDs

- **CSD has links with other CSD**
 - **Number of Links with other CSDs - 2**
 - Both Inbound and Outbound – 2 (Only Direct)
 - **Purpose of Links with other CSDs**
 - Both DVP & FOP - 2 (Only Direct)

□ STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | | As on 31-Dec-18 | | As on 31-Dec-19 | |
|---------------------------------------|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 489 | - | - | - | - | - |
| Omnibus Accounts | 6,252 | - | - | - | - | - |
| Number of Participants | | | | | | |
| Domestic Participants | 69 | - | - | - | - | - |
| Non-domestic Participants | 8 | - | - | - | - | - |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 3,675 | - | 10,783 | 8,265 | 11,591 | 8,048 |
| CIV | 965 | - | 1,258 | - | 1,462 | - |
| Debt (Federal/ National Govt.) | 222 | - | 227 | - | 218 | - |
| Debt (corporate) | 318 | - | 333 | 1,748 | 293 | 2,287 |
| Others | - | - | 47 | - | 48 | - |

in USD (in millions i.e., '000000)

| Particulars | 260.232 | | 280.330 | | 294.220 | |
|--|-----------------|----------------|-------------------|----------------|-------------------|----------------|
| Conversion Rate | | | | | | |
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 0.675 | - | 0.526 | - | 0.549 | - |
| Value of Instructions | 752,663.444 | - | 4,306,632,059.105 | - | 6,218,624,779.175 | - |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | 0.000 | - | 0.000 | - | 0.000 | - |
| Value of Corporate action | 0.000 | - | 0.000 | - | 0.000 | - |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 62,727.211 | 632.667 | 37,748.443 | 22.110 | 15,199.864 | 36.180 |
| CIV | - | - | 17,685.417 | - | 16,850.497 | - |
| Debt (Federal/ National Govt.) | - | - | 91,087.479 | - | 94,693.013 | - |
| Debt (Other Govt. bodies) | 99,213.604 | 6,595.114 | - | - | - | - |
| Debt (corporate) | - | - | 3,710.102 | 1,558.945 | 5,620.327 | 1,663.183 |
| Others | 17.285 | - | 4,345.871 | - | 4,346.257 | - |

□ OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions

- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify): Handling of Corporate Actions and General Meetings, Issuance and Distribution Services, Central Registry and OTC Settlement.

☐ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

- KELER's ongoing projects in 2019 were the following ones: Trade Reporting under SFTR (successfully went live in July 2020), KELER Service Development Program (KSDP), KELER within the scope of KSDP is preparing for the compliance with SDR, Implementation of Real-Time Payment System (successfully went live in 2020 March), KELERs accreditation for LEI code issuance is almost complete and KELER will go live with SRD on the 3rd of September.

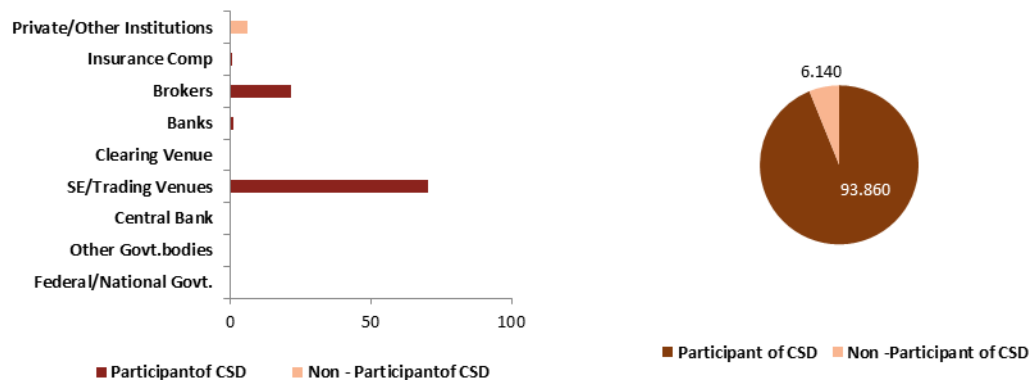
❑ BASIC INFORMATION

- **Regional Association:** ACG, AECSD
- **Primary Regional Association:** ACG
- **LEI Number:** 9884008RRMX1X5HV6625
- **Local Currency:** South Korean Won (KRW)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI. CSD is controlled by government organization (Financial Services Commission).

- Shareholding Pattern (in %)



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus (Beneficial Owner account can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** Others
- CSD or its group company does not have banking license
- CSD has DVP solution

- CSD offers both Commercial Bank money and Central Bank money for settlement

❑ **FULL TIME EMPLOYEES: 720 (AS ON 31-Dec-19)**

❑ **ANNUAL REVENUE**

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|-------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 181,961.271 | 202,331.541 | 192,385.813 |
| Other Income | 40,968.574 | 72,911.290 | 60,839.100 |
| | 222,929.845 | 275,242.832 | 253,224.913 |

❑ **LINKS WITH OTHER CSDs**

- CSD has links with other CSD
 - Number of Links with other CSDs - 1
 - Only Inbound - 1 (Only Direct)
 - Purpose of Links with other CSDs
 - Only FOP - 1(Only Direct)

❑ **STATISTICS & VOLUME**

| Particulars | As on 31-Dec-17 | | As on 31-Dec-18 | | As on 31-Dec-19 | |
|---------------------------------------|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 183 | | 1,372 | | 1,353 | |
| Omnibus Accounts | 1,088 | | 4,821 | | 5,412 | |
| Number of Participants | | | | | | |
| Domestic Participants | 558 | | 639 | | 585 | |
| Non-domestic Participants | 683 | | 551 | | 677 | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 2,948 | 10 | 6,302 | - | 7,017 | - |
| CIV | 24,117 | 635 | 28,396 | - | 30,680 | - |
| Debt (Federal/ National Govt.) | 297 | - | 325 | - | 314 | - |
| Debt (Other Govt. bodies) | 752 | - | 1,332 | - | 1,343 | - |
| Debt (corporate) | 8,287 | 13 | 21,653 | - | 23,214 | - |
| Others | 110,353 | 1,833 | 2,114 | - | 2,071 | - |

in USD (in millions i.e., '000000)

| Particulars | 2017 | | 2018 | | 2019 | |
|--|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Conversion Rate | | | | | | |
| | 1,066.403 | | 1,116.000 | | 1,156.000 | |
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 4.658 | | 45.757 | | 39.433 | |
| Value of Instructions | 5,907,971.440 | | 6,990,322.581 | | 6,928,615.917 | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | 0.041 | | 0.000 | | 0.000 | |
| Value of Corporate action | 110,311.714 | | 1,891,113.106 | | 1,891,091.512 | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 1,799,505.862 | 9,642.323 | 1,463,843.190 | 9,817.695 | 1,588,225.779 | 14,441.831 |
| CIV | 562,688.493 | 17.719 | - | 14.662 | - | 0.018 |
| Debt (Federal/ National Govt.) | 603,006.678 | 27,829.740 | 600,335.719 | 26,442.296 | 623,788.516 | 29,169.754 |
| Debt (Other Govt. bodies) | 19,967.345 | - | 18,584.377 | - | 18,338.368 | - |
| Debt (corporate) | 1,069,034.250 | - | 874,893.622 | - | 898,532.445 | - |
| Others | 234,984.364 | 13.895 | 473,346.677 | 1.545 | 533,744.651 | 11.221 |

OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify): Transfer Agent, Indenture Trustee, DR Custodian, KDR Depository, Fund Administration, etc.

MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

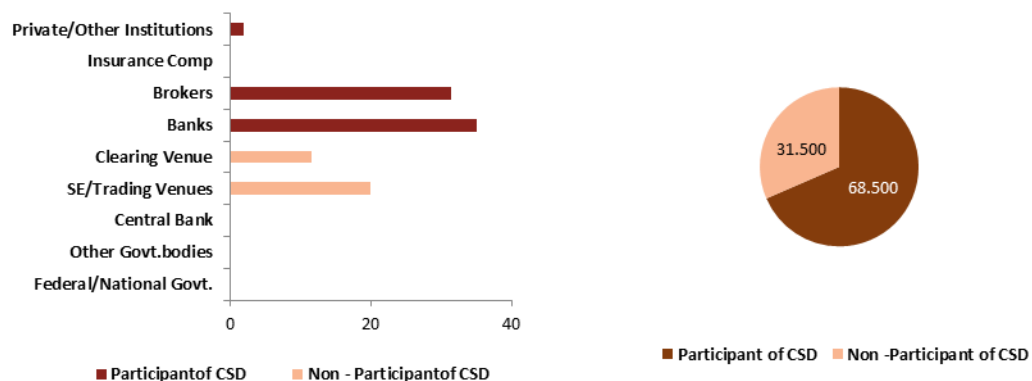
- KSD paved the way for a digital revolution in the capital market by successfully launching the era of electronic securities.
- KSD opened a new Securities Museum in Busan.

❑ BASIC INFORMATION

- **Regional Association:** ACG
- **Local Currency:** Indonesian Rupiah (IDR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **CSD is owned or controlled by Stock Exchange**
- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are not traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure: Beneficial Owner**
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- **CSD or its group company does not have banking license**
- **CSD has DVP solution**
- **CSD settles in Central Bank money**
- **Type of Participants**
 - o **Domestic**
Custodian (22), Brokers (109), Asset Managers (92), Others (1186)

FULL TIME EMPLOYEES: 128 (AS ON 31-Dec-19)

ANNUAL REVENUE

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|-------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 28,552.156 | 30,414.335 | 35,714.500 |
| Other Income | 10,487.048 | 10,205.963 | 20,744.396 |
| | 39,039.204 | 40,620.30 | 56,458.895 |

LINKS WITH OTHER CSDs

- CSD has no links with other CSD

STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | | As on 31-Dec-18 | | As on 31-Dec-19 | |
|---------------------------------------|-----------------|---------|-----------------|---------|-----------------|---------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 1,021,181 | | 1,070,201 | | 1,371,117 | |
| Number of Participants | | | | | | |
| Domestic Participants | 374 | | 1,514 | | 1,409 | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 610 | - | 666 | - | 718 | - |
| CIV | 1,550 | 64 | 38 | - | 53 | - |
| Debt (Federal/ National Govt.) | 57 | - | 42 | - | 74 | - |
| Debt (corporate) | 527 | - | 1,118 | - | 1,254 | - |
| Others | 538 | - | 44 | - | 131 | - |

in USD (in millions i.e., '000000)

| Conversion Rate | 13,571.882 | | 14,481.000 | | 13,091.000 | |
|--|-------------|-----------|-------------|---------|-------------|---------|
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 2,033 | | 2,388 | | 2,691 | |
| Value of Instructions | 200,004.687 | | 206,684.621 | | 231,120.617 | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | 0.005 | | 0.006 | | 0.008 | |
| Value of Corporate action | 10,537.227 | | 11,928.044 | | 19,097.853 | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 282,557.719 | - | 245,899.454 | - | 284,985.401 | - |
| CIV | 33.406 | 1,459.248 | 74.098 | - | 1,023.137 | - |
| Debt (Federal/ National Govt.) | 4,740.684 | - | 7,407.638 | - | 9,784.813 | - |
| Debt (corporate) | 28,139.060 | - | 34,541.813 | - | 41,031.832 | - |
| Others | 10,462.072 | - | 2,901.733 | - | 4,280.073 | - |

OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform

- Funds Order Routing Platform
- None of the above
- Others (Please specify)

MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

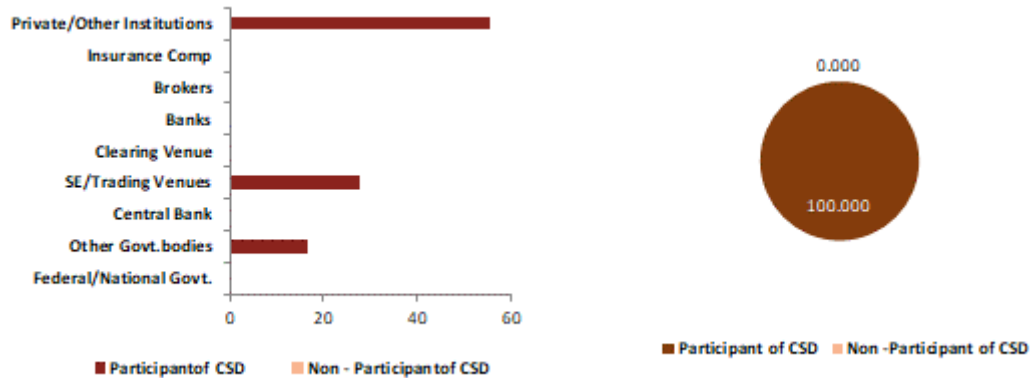
1. KSEI officially obtained Fatwa from the National Sharia Board (DSN-MUI) No. 124/DSN-MUI/XI/2018 concerning Application of Sharia Principles in the Implementation of Depository Services and Settlement of Securities Transactions and Integrated Investment Infrastructure Management.
2. OJK issued Circular Letter No. 6/SEOJK.04/2019 as a guideline on the capital market's digital investment account opening. KSEI officially implemented a digital process in opening Securities Account and Investor Fund Account in the capital market.
3. KSEI launched a new generation of AKSes facility (reference for Securities ownership) namely AKSes Next Generation as an initiative to improve information transparency and investor protection. AKSes facility provides a platform for investors in the capital market to directly monitor their Securities portfolio ownership and/or funds deposited in the Investor Fund Account.
4. KSEI has increased the number of Investor Cash Account Administrator Banks from 14 to 16 banks and the number of its Payment Banks from 5 to 9 for the 2019 - 2024 period.
5. KSEI officially launched the full implementation of fund settlement for Securities transactions in the Capital Market through Bank Indonesia (Full Central Bank Money-Full CeBM). The full implementation of CeBM initiative has been carried out gradually since 2015 until fully implemented to all Participants since July 22nd, 2019.
6. Indonesia Mutual Fund industry made a new milestone through the launching of multi share class funds. Multi share class funds is an openend fund in form of Collective investment Contract which has more than one class of investment unit.
7. 104 Capital Market Industry players signed a Cooperation Agreement with Directorate General of Population and Civil Registration concerning the utilization of National ID Number, Population Data and Electronic Identity Card (e-KTP) in the capital market services. The cooperation was intended to facilitate and accelerate Securities accounts' opening for investors.
8. KSEI received the Marquee Award for the third time as the Best Central Securities Depository in South East Asia in 2019 according to Alpha Southeast Asia magazine. This award is given because KSEI is the first Central Securities Depository (CSD) in ASEAN that fully implemented fund transactions settlement through Bank Indonesia to settle Securities transaction in the capital market (Full Central Bank Money-Full CeBM).
9. KSEI assessed the company's good corporate governance practices during 2019, with the help from RSM Indonesia as independent consultant, referring to ASEAN Corporate Governance Scorecard (ACGS) criteria. Based on the assessment, KSEI's GCG implementation obtained a higher score from the last assessment.

❑ BASIC INFORMATION

- **Regional Association:** AMEDA
- **LEI Number:** 2138002PT1Z3N88ITP70
- **Local Currency:** Kuwaiti Dinar (KWD)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Holding Company that also owns other FMIs
- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner (Omnibus accounts can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Corporate Debt
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD uses external Commercial Bank money (CoBM) for settlement

- Type of Participants

- **Domestic**
Custodian (1), Non-custodian Banks (11), Brokers (10), Asset Managers (35)
- **Non-domestic**
Custodian (2), Non-custodian Banks (10)

❑ FULL TIME EMPLOYEES: 106 (AS ON 31-Dec-19)

❑ ANNUAL REVENUE

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 26,315.416 | 26,770.571 | 43,739.392 |
| Other Income | - | - | - |
| | 26,315.416 | 26,770.571 | 43,739.392 |

❑ LINKS WITH OTHER CSDs

- CSD has no links with other CSD

❑ STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|---------------------------------------|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 381,074 | 387,083 | 394,453 | | | |
| Omnibus Accounts | - | 3 | 3 | | | |
| Number of Participants | | | | | | |
| Domestic Participants | 33 | 59 | 57 | | | |
| Non-domestic Participants | 2 | 12 | 12 | | | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 772 | - | 797 | - | 838 | - |
| CIV | 33 | - | 39 | - | 33 | - |
| Debt (corporate) | 15 | - | 18 | - | 23 | - |

in USD (in millions i.e., '000000)

| Conversion Rate | 0.302 | 0.305 | 0.306 | | | |
|--|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 0.000 | 0.934 | 1.543 | | | |
| Value of Instructions | 37,896.916 | 28,394.617 | 53,014.165 | | | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | 0.000 | 0.000 | 0.000 | | | |
| Value of Corporate action | 0.000 | 3,906.939 | 4,119.917 | | | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 92,569.148 | - | 6,261.894 | - | 10,935.756 | - |
| Debt (corporate) | 2,100.173 | - | - | - | - | - |

❑ OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services

- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify)

MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

- The introduction of SLB and short sell in the market.
- Introduction of Stock SWAPs.
- Introduction of REITS.
- MSCI announced the upgrade of the KUWAITI market to emerging markets.

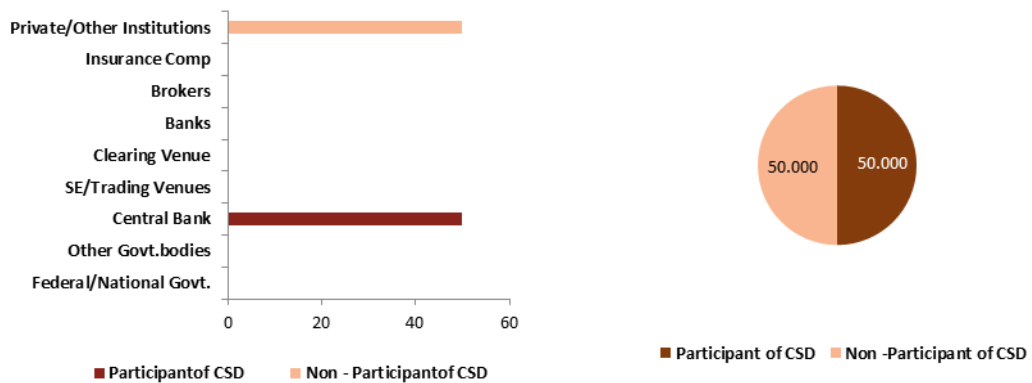
❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **LEI Number:** 222100T6ICDIY8V4VX70
- **Local Currency:** Euro (EUR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI. LuxCSD is jointly owned by the Banque centrale du Luxembourg (BCL) and Clearstream International S.A. (fully owned by Deutsche Bourse A.G.)

- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are not traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
- **CSD or its group company does not have banking license**
- **CSD has DVP solution**

- CSD settles in Central Bank money
- Type of Participants
 - o Domestic
Custodian (1), Non-custodian Banks (3), Others (2)
 - o Non-domestic
Custodian (2), Non-custodian Banks (7)

❑ FULL TIME EMPLOYEES: 13 (AS ON 31-Dec-19)

❑ ANNUAL REVENUE

| | in USD (in thousands i.e., '000) | | |
|--------------------------------|----------------------------------|------------------------|------------------------|
| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
| Revenue from Operations | 2,879.668 | 3,146.049 | 3,609.603 |
| Other Income | - | - | - |
| | 2,879.668 | 3,146.049 | 3,609.603 |

❑ LINKS WITH OTHER CSDs

- CSD has links with other CSD
 - o Number of Links with other CSDs - 3
 - Both Inbound and Outbound – 3 (Only Direct)
 - o Purpose of Links with other CSDs
 - Only FOP – 1(Only Direct)
 - Both DVP & FOP - 2 (Only Direct)

❑ STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | | As on 31-Dec-18 | | As on 31-Dec-19 | |
|---------------------------------------|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Omnibus Accounts | 31 | | 31 | | 28 | |
| Number of Participants | | | | | | |
| Domestic Participants | 6 | | 6 | | 6 | |
| Non-domestic Participants | 9 | | 9 | | 9 | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 17 | - | 0 | - | 0 | - |
| CIV | 872 | - | - | - | - | - |
| Debt (Federal/ National Govt.) | 5 | - | - | - | - | - |
| Debt (corporate) | 6 | - | - | - | - | - |
| Others | 1 | - | - | - | - | - |

| | in USD (in millions i.e., '000000) | | | | | |
|--|------------------------------------|----------------|-----------------|----------------|-----------------|----------------|
| Conversion Rate | 0.833 | | 0.850 | | 0.850 | |
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 0.019 | | 0.017 | | 0.019 | |
| Value of Instructions | 24,827.534 | | 18,913.943 | | 19,503.385 | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | 0.000 | | 0.001 | | 0.001 | |
| Value of Corporate action | 355.999 | | 1,092.999 | | 5,470.878 | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 11,018.088 | - | 0.000 | - | 0.000 | - |
| CIV | 4,614.067 | - | - | - | - | - |
| Debt (Federal/ National Govt.) | 6,809.214 | - | - | - | - | - |
| Debt (corporate) | 174.340 | - | - | - | - | - |

| | | | | | | |
|--------|-----------|---|---|---|---|---|
| Others | 3,724.730 | - | - | - | - | - |
|--------|-----------|---|---|---|---|---|

OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify): LuxCSD provides Issuance and Distribution services, Safekeeping and Custody services, Investment Fund services and Settlement services

MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

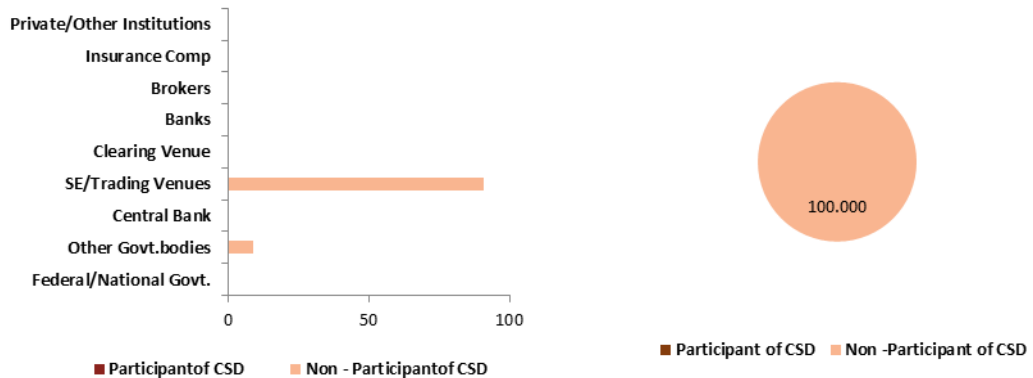
- LuxCSD has continued the activation of its enhanced offering in Target 2 Securities (T2S). The year 2019 saw the implementation of the relayed links to the Bank of Greece System in Greece, the Baltic CSDs and Malta. Furthermore, in response to specific customer demand, a direct link to Euroclear France for French registered securities was implemented.
- By adding additional markets to the investor-CSD model, LuxCSD customers can further harmonize the benefits of the harmonized service level solution which includes streamlined connectivity, harmonized asset servicing in partnership with local agents and collateral management services from a single platform.

❑ BASIC INFORMATION

- **Regional Association:** ACG
- **LEI Number:** C-85/2008
- **Local Currency:** Maldivian Rufiyaa (MVR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **CSD is owned or controlled by Stock Exchange**
- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are not traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure: Beneficial Owner**
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Corporate Debt
 - Immobilized form** -
- **CSD or its group company does not have banking license**
- **CSD has no DVP solution**
- **Type of Participants**
 - **Domestic**
 - Brokers (2)

❑ FULL TIME EMPLOYEES: 9 (AS ON 31-Dec-19)

❑ ANNUAL REVENUE

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|-------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | - | 111.563 | 145.744 |
| Other Income | - | - | - |
| | - | 111.563 | 145.744 |

❑ LINKS WITH OTHER CSDs

- CSD has no links with other CSD

❑ STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|---------------------------------------|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | - | 31,865 | 42,385 | | | |
| Number of Participants | | | | | | |
| Domestic Participants | - | 2 | 2 | | | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | - | - | 8 | - | 9 | - |
| Debt (corporate) | - | - | 4 | - | 6 | - |

in USD (in millions i.e., '000000)

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|---|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Conversion Rate | - | 15.420 | 15.400 | | | |
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | - | - | - | | | |
| Value of Instructions | - | 0.393 | 0.394 | | | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | - | - | 40.808 | - | 35.899 | - |
| Debt (corporate) | - | - | 47.511 | - | 55.814 | - |

❑ OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify)

❑ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

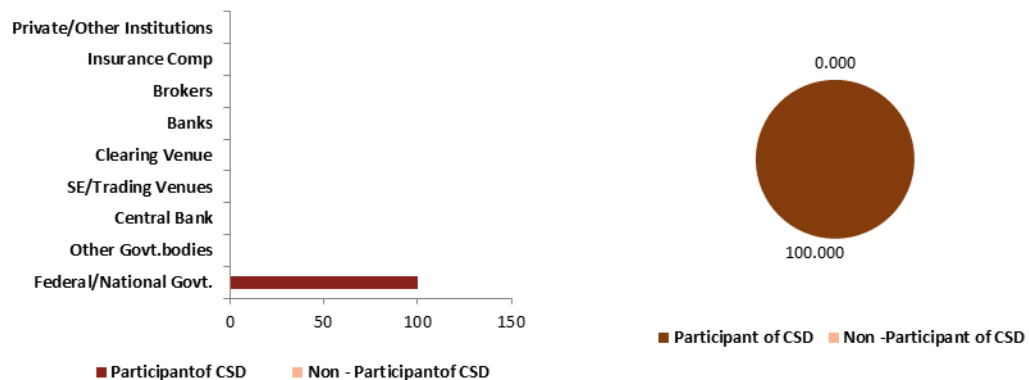
The Depository successfully managed 3 public offerings during the year 2019. Also, the company's online AGM management service was provided to 2 of the listed companies.

❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **Local Currency:** Euro (EUR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **CSD is owned or controlled by Stock Exchange**
- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are not traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure: Beneficial Owner (Omnibus accounts can also be opened)**

- **Financial Instruments accepted for deposit and/or settlement:**

- Equities
- Collective Investment Vehicles
- Government Debt
- Corporate Debt
- Others

- **Financial Instruments held in**

Dematerialized form Equity, Government Debt, Corporate Debt
Immobilized form -

- **CSD or its group company does not have banking license**
- **CSD has DVP solution**
- **CSD offers both Commercial Bank money and Central Bank money for settlement**

❑ FULL TIME EMPLOYEES: 12 (AS ON 31-Dec-19)

ANNUAL REVENUE

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|-------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 0.000 | 7,702.003 | 7,846.649 |
| Other Income | - | 418.455 | 540.512 |
| | 0.000 | 8,120.459 | 8,387.161 |

LINKS WITH OTHER CSDs

- CSD has links with other CSD
 - o Number of Links with other CSDs - 1
 - Both Inbound and Outbound – 1 (Only Direct)
 - o Purpose of Links with other CSDs
 - Both DVP & FOP - 1 (Only Direct)

STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | | As on 31-Dec-18 | | As on 31-Dec-19 | |
|---------------------------------------|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | - | | 67,404 | | 64,915 | |
| Omnibus Accounts | - | | 65 | | 59 | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 0 | - | 39 | 1 | 44 | 1 |
| CIV | - | - | - | - | - | - |
| Debt (Federal/ National Govt.) | - | - | 66 | - | 62 | - |
| Debt (corporate) | - | - | 99 | 11 | 112 | 8 |

in USD (in millions i.e., '000000)

| Particulars | As on 31-Dec-17 | | As on 31-Dec-18 | | As on 31-Dec-19 | |
|--|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Conversion Rate | 0.000 | | 0.841 | | 0.842 | |
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 0.000 | | 0.037 | | 0.035 | |
| Value of Instructions | 0.000 | | 3,397.444 | | 2,073.113 | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | 0.000 | | 0.000 | | 0.000 | |
| Value of Corporate action | 0.000 | | 1,361.346 | | 1,499.498 | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 0.000 | - | 5,519.889 | 2,313 | 5,962.259 | 2,376 |
| Debt (Federal/ National Govt.) | - | - | 7,149.979 | - | 7,539.840 | - |
| Debt (Other Govt. bodies) | - | - | - | - | - | - |
| Debt (corporate) | - | - | 2,708.238 | 1,841.861 | 2,877.185 | 1,726.073 |

OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform

- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify): Facilitates the provision of LEI through an agreement with an LOU

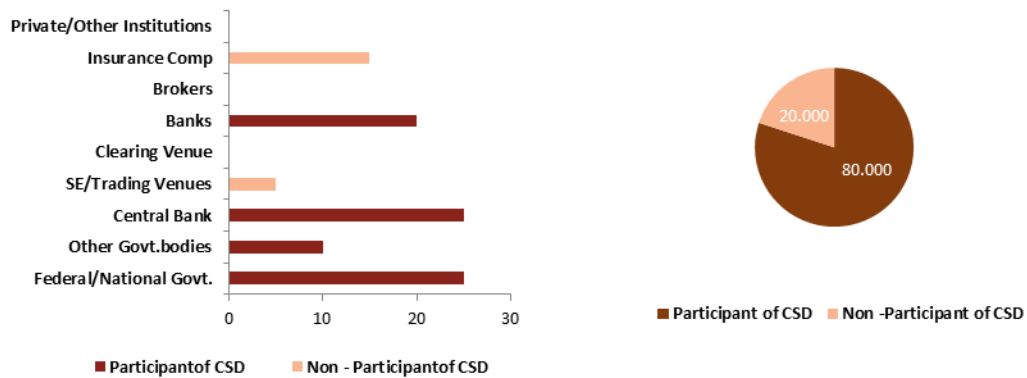
❑ BASIC INFORMATION

- **Regional Association:** AMEDA
- **Local Currency:** Moroccan Dirham (MAD)

❑ OWNERSHIP (AS ON 31-Dec-19)

- MAROCLEAR is a public limited company under private law, established in July 1997, by virtue of the provisions of Dahir no. 1-96-246 of 9 January 1997 promulgating Law no. 35-96 on the establishment of a Central Depository and a general regime for the book-entry of certain securities, as amended and supplemented by Law no. 43-02

- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are not traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- **CSD or its group company does not have banking license**
- **CSD has DVP solution**
- **CSD settles in Central Bank money**

- **Type of Participants**

- **Domestic**
Custodian (30), Brokers (17), Asset Managers (25)
- **Non-domestic**
Others (1)

□ **FULL TIME EMPLOYEES: 75 (AS ON 31-Dec-19)**

□ **ANNUAL REVENUE**

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 9,225.378 | 8,978.451 | 9.025 |
| Other Income | 758.220 | 569.660 | 0.525 |
| | 9,983.598 | 9,548.111 | 9.550 |

□ **LINKS WITH OTHER CSDs**

- **CSD has links with other CSD**
 - **Number of Links with other CSDs - 1**
 - Both Inbound and Outbound – 1 (Only Direct)
 - **Purpose of Links with other CSDs**
 - Only FOP – 1 (Only Direct)

□ **STATISTICS & VOLUME**

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|---------------------------------------|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Omnibus Accounts | 206 | 340 | 550 | | | |
| Number of Participants | | | | | | |
| Domestic Participants | 61 | 58 | 72 | | | |
| Non-domestic Participants | 1 | - | 1 | | | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 91 | 1 | 92 | 1 | 89 | 1 |
| CIV | 435 | - | 445 | - | 487 | - |
| Debt (Federal/ National Govt.) | 78 | - | 69 | - | 70 | - |
| Debt (corporate) | 619 | - | 687 | - | 747 | - |

in USD (in millions i.e., '000000)

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|--|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Conversion Rate | 9.351 | 9.555 | 9,565.000 | | | |
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 1.105 | 0.792 | 0.737 | | | |
| Value of Instructions | 1,541,890.671 | 1,701,600.704 | 1,948.025 | | | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | 0.001 | 0.001 | 0.001 | | | |
| Value of Corporate action | 2,715.914 | 2,657.248 | 2.549 | | | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 67,715.747 | 17.487 | 62,227.734 | 11.826 | 66.691 | 0.010 |
| CIV | 42,049.640 | - | 43,652.538 | - | 46.555 | - |
| Debt (Federal/ National Govt.) | 55,256.991 | - | 57,163.789 | - | 58.254 | - |
| Debt (corporate) | 20,105.118 | - | 21,831.502 | - | 25.259 | - |

OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify): Dematerialization of non-listed company

MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

- MAROCLEAR organized the WFC 2019 in Marrakesh from 8th to 12th April 2019. the agenda topics were very precise to cover **“The Changing Nature of the Financial Markets”** with +50 speaker and +350 Participants from 90 countries.
- In 2019, MAROCLEAR launched a project to establish its Digital transformation road map from next 5 years.

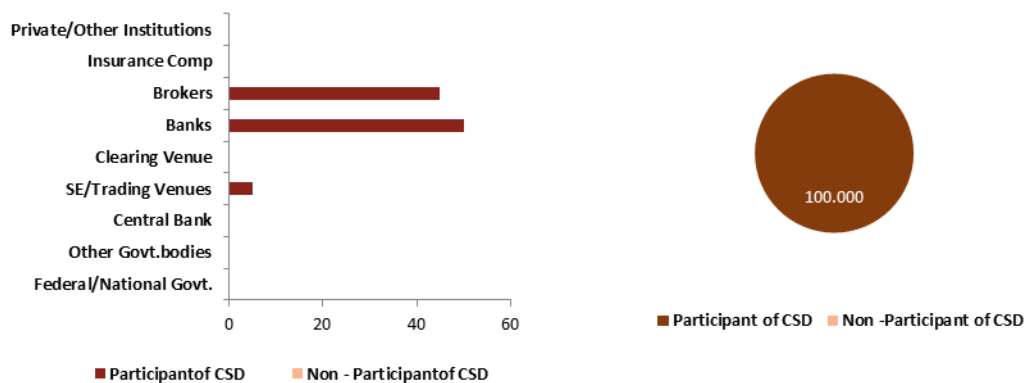
❑ BASIC INFORMATION

- **Regional Association:** AMEDA
- **LEI Number:** UNAVISTA
- **Local Currency:** Egyptian Pound (EGP)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **CSD ownership percentage is fixed according to the Depository & Registry Law number 93 of year 2000. The Exchange owns 5% of the Depository, Banks 50% and Brokerage Firms 45%**

- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are not traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure: Beneficial Owner (Omnibus accounts can also be opened)**

- **Financial Instruments accepted for deposit and/or settlement:**

- Equities
- Collective Investment Vehicles
- Government Debt
- Corporate Debt
- Others

- **Financial Instruments held in**

- Dematerialized form** Equity, Government Debt, Corporate Debt
- Immobilized form** Equity, Government Debt, Corporate Debt

- **CSD or its group company does not have banking license**
- **CSD has DVP solution**
- **CSD offers both Commercial Bank money and Central Bank money for settlement**

- **Type of Participants**
 - o **Domestic**
Custodian (31), Brokers (148), Others (24)

❑ FULL TIME EMPLOYEES: 552 (AS ON 31-Dec-19)

❑ ANNUAL REVENUE

| | in USD (in thousands i.e., '000) | | |
|--------------------------------|----------------------------------|------------------------|------------------------|
| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
| Revenue from Operations | 10,369.521 | 10,801.215 | 13,071.974 |
| Other Income | 21,348.803 | 28,072.547 | 34,513.358 |
| | 31,718.324 | 38,873.761 | 47,585.333 |

❑ LINKS WITH OTHER CSDs

- **CSD has links with other CSD**
 - o **Number of Links with other CSDs - 4**
 - Both Inbound and Outbound – 4 (Only Direct)
 - o **Purpose of Links with other CSDs**
 - Only DVP – 3 (Only Direct)
 - Both DVP & FOP - 1 (Only Direct)

❑ STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | | As on 31-Dec-18 | | As on 31-Dec-19 | |
|---------------------------------------|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 423,838 | | 1,164,964 | | 1,164,992 | |
| Omnibus Accounts | 51 | | 13 | | 13 | |
| Number of Participants | | | | | | |
| Domestic Participants | 204 | | - | | - | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 1,538 | 2 | 1,976 | - | 7,027 | - |
| Debt (Federal/ National Govt.) | 71 | - | 76 | - | 86 | - |
| Debt (corporate) | 36 | - | 48 | - | 68 | - |

| | in USD (in millions i.e., '000000) | | | | | |
|--|------------------------------------|----------------|-----------------|----------------|-----------------|----------------|
| Conversion Rate | 17.820 | | 17.910 | | 16.040 | |
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 7.000 | | 7.055 | | 5.598 | |
| Value of Instructions | 18,518.526 | | 19,254.991 | | 23,869.409 | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | 0.001 | | 0.001 | | 0.002 | |
| Value of Corporate action | 16,324.137 | | 15,651.280 | | 25,758.105 | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 69,831.680 | 531.818 | 7,987.398 | - | 75,726.696 | - |
| CIV | - | - | - | - | - | - |
| Debt (Federal/ National Govt.) | 39,841.375 | - | 5,639.732 | - | 90,734.767 | - |
| Debt (corporate) | 505.949 | - | 41.396 | - | 866.756 | - |

OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify)

MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

- Operating securities Lending and Borrowing system.
- Upgrading MCDR database servers.

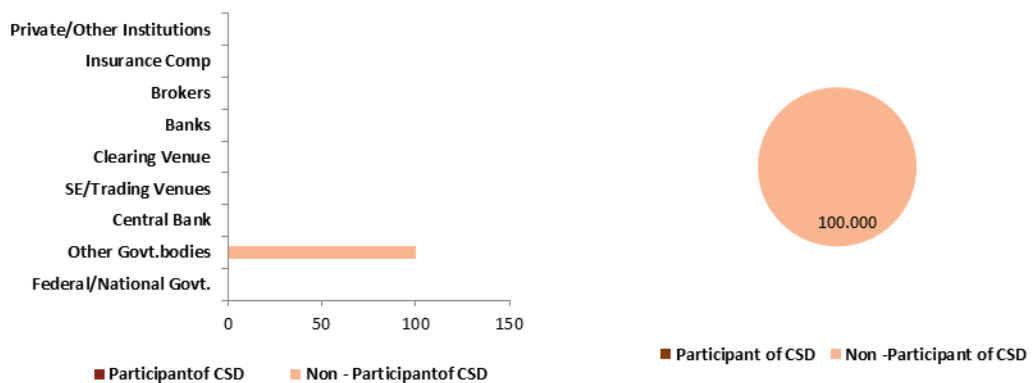
❑ BASIC INFORMATION

- **Regional Association:** ACG, AECSD
- **Primary Regional Association:** ACG
- **Local Currency:** Mongolian Tugrik (MNT)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI. 100 % state owned**

- Shareholding Pattern (in %)



- **Shares of CSD or Holding Company are not traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure: Beneficial Owner (Omnibus accounts can also be opened)**

- Financial Instruments accepted for deposit and/or settlement:

- Equities
- Collective Investment Vehicles
- Government Debt
- Corporate Debt
- Others

- Financial Instruments held in

Dematerialized form Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others

Immobilized form -

- **CSD or its group company have banking license**
- **CSD has DVP solution**
- **CSD offers both Commercial Bank money and Central Bank money for settlement**

- **Type of Participants**

o **Domestic**

Custodian (3), Non-custodian Banks (12), Brokers (51)

FULL TIME EMPLOYEES: 41 (AS ON 31-Dec-19)

LINKS WITH OTHER CSDs

- CSD has no links with other CSD

STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|---------------------------------------|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 1,049,357 | - | 526,347 | | | |
| Omnibus Accounts | 3 | - | 6 | | | |
| Number of Participants | | | | | | |
| Domestic Participants | 59 | - | 66 | | | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 320 | - | 0 | - | 330 | - |
| Debt (Federal/ National Govt.) | 158 | - | - | - | - | - |
| Debt (Other Govt. bodies) | - | - | - | - | 36 | - |
| Debt (corporate) | 23 | - | - | - | 46 | - |

in USD (in millions i.e., '000000)

| | | | | | | |
|--|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Conversion Rate | 2,422.046 | 0.000 | 2,734.330 | | | |
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 0.045 | 0.000 | 0.000 | | | |
| Value of Instructions | 728.096 | 0.000 | 0.000 | | | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | 0.007 | 0.000 | 0.000 | | | |
| Value of Corporate action | 274.544 | 0.000 | 12.372 | | | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 578.024 | - | 0.000 | - | 983.905 | - |
| Debt (Federal/ National Govt.) | 1,529.001 | - | - | - | - | - |
| Debt (Other Govt. bodies) | - | - | - | - | 41.556 | - |
| Debt (corporate) | 960.667 | - | - | - | - | - |

OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify)

❑ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

- **Implementation of Delivery versus payment system with the settlement cycle of T+2**

The Mongolian securities market is considering the abolition of the pre-funding system currently in operation to attract foreign investors. Also developing the Mongolian capital market in line with international standards and create a favorable environment for investors is the current aspiration of the country

To achieve this goal after almost two years of the preparation initiated by the Ministry of finance with the participation of the securities market Participants as well as the Financial Regulatory Committee, introduced the PFMI principles created by OICU-IOSCO and BIS organizations to the Mongolian securities market. As a result of implementing the PFMI principle to the securities market, regulated market transactions and settlement are to be carried out by DvP/Model III/ and T+2 settlement cycle starting from March 30th of 2020.

As the Mongolian securities market transiting to DvP/Model III/and T+2 settlement cycle, finally MCSD will able to carry out a DvP settlement operator under PFMI. We believe that introducing T+2 will allow making exchange transaction settlement by international practices, besides bringing many positive consequences, which will increase the efficiency of a post-trade process, mitigation of principle risk, and lower settlement costs.

- **Joined ANNA as a member**

Mongolian Central Securities Depository is the only organization that has been granted the International Securities Identification Number issuer license on securities of the Mongolian securities market by the Financial regulatory committee. Based on this license we signed the "ANNA international cooperation agreement" with the Association of National Numbering Agency on November 25, 2010, and had successfully worked as a "Partner" until 2019. On November 27, 2019, at ANNA's General Meeting in Montevideo, Uruguay MCSD joined as a "Member" supported by 100 percent of members votes.

- **Launched the API with the securities companies in Mongolia**

In 2018 Mongolian government launched the national information exchange system. This information exchange system directly exchanges the information between government organizations by copying and renewing the database and removed the traditional service solutions of government organizations. It also created an opportunity to exchange information more flexible, fast, secure, and safe.

This system made KYC and verifying the information /Mongolian citizens/ to open a securities account easier for us. Until the March 2019 procedure for opening an account has been handled manually, which required a long time and a labor-

intensive task for securities companies as well as us. Using the new IT solution Mongolian Central Securities Depository initiated an API online exchange of information between securities companies. As the launching of API Mongolian Central Securities Depository gets multiple abilities such as:

- Lowered the number of paper documentation drastically
- Verification upon opening a securities account lessens the risk of incorrect accounts

If securities companies send the data without errors, within 5 minutes, we can open 20,000 accounts.

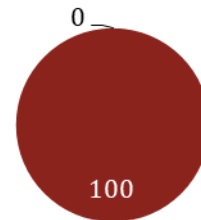
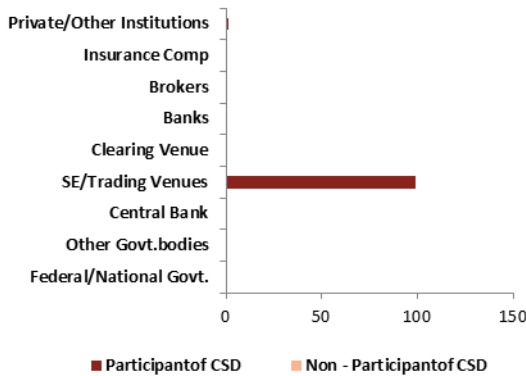
❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **LEI Number:** 8156009CEEE1B8C7C646
- **Local Currency:** Euro (EUR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **CSD is owned or controlled by Stock Exchange**

- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are not traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure: Omnibus**

- **Financial Instruments accepted for deposit and/or settlement:**

- Equities
- Collective Investment Vehicles
- Government Debt
- Corporate Debt
- Others

- **Financial Instruments held in**

Dematerialized form Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others

Immobilized form -

- **CSD or its group company does not have banking license**
- **CSD has DVP solution**
- **CSD settles in Central Bank money**

- Type of Participants

- **Domestic**
Custodian (5), Non-custodian Banks (37), Brokers (11), Others (119)
- **Non-domestic**
Custodian (4), Brokers (1)

☐ **FULL TIME EMPLOYEES: 123 (AS ON 31-Dec-19)**

☐ ANNUAL REVENUE

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 87,480.701 | 82,463.853 | 83,475.961 |
| Other Income | - | - | - |
| | 87,480.701 | 82,463.853 | 83,475.961 |

☐ LINKS WITH OTHER CSDs

- **CSD has links with other CSD**
 - **Number of Links with other CSDs - 21**
 - Only Outbound – 3 (Only Direct)
 - Both Inbound and Outbound – 18 (Only Direct)
 - **Purpose of Links with other CSDs**
 - Only DVP – 19 (Only Direct)
 - Only FOP – 2(Only Direct)

☐ STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|---------------------------------------|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Omnibus Accounts | 1,063 | 1,084 | 1,125 | | | |
| Number of Participants | | | | | | |
| Domestic Participants | 61 | 170 | 172 | | | |
| Non-domestic Participants | 15 | 5 | 5 | | | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 1,202 | 28 | 1,293 | 27 | 1,352 | 63 |
| CIV | 13 | - | 44 | - | 60 | 2 |
| Debt (Federal/ National Govt.) | 404 | - | 395 | - | 453 | - |
| Debt (corporate) | 4,342 | 32 | 4,012 | 71 | 3,986 | 175 |
| Others | 3,454 | 5,562 | 1,611 | 10,094 | 1,328 | 10,418 |

in USD (in millions i.e., '000000)

| Conversion Rate | 0.833 | 0.851 | 0.851 |
|--|----------------|-------------|---------------|
| Settlement Instruction (During the year) | | | |
| Number of Instructions | 28.291 | 27.858 | 28.663 |
| Value of Instructions | 94,495,920.629 | 101,720.936 | 114,883.037 |
| Corporate Action Events (During the year) | | | |
| Number of Events handled by CSD | 0.045 | 0.036 | 0.033 |
| Value of Corporate action | 738,822.451 | 658,368.402 | 1,018,244.975 |
| Value on Deposit | | | |

| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
|--------------------------------|---------------|-----------|---------------|------------|----------|---------|
| Equities | 695,763.777 | 7,044.963 | 597,444.458 | 7,316.328 | 0.665 | 0.011 |
| CIV | 957.813 | - | 3,033.972 | - | 0.005 | 0.000 |
| Debt (Federal/ National Govt.) | 2,250,367.207 | - | 2,264,669.096 | - | 2.313 | - |
| Debt (corporate) | 445,203.602 | 1,582.377 | 449,842.483 | 1,474.080 | 0.486 | 0.001 |
| Others | 5,017.125 | 6,114.650 | 4,118.961 | 11,401.199 | 0.009 | 0.014 |

❑ OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify)

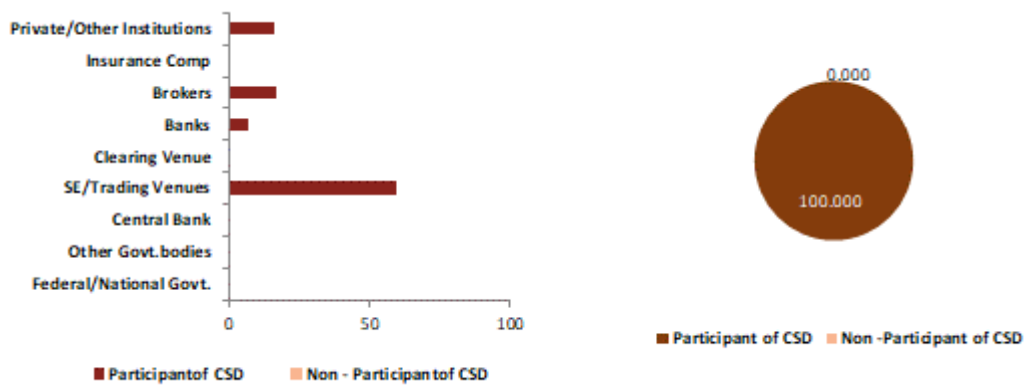
❑ BASIC INFORMATION

- **Regional Association:** AMEDA
- **LEI Number:** 254900I3314ON1XCHR13
- **Local Currency:** Omani Rial (OMR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI. 60% shareholding is owned by the Exchange

- Shareholding Pattern (in %)



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner (Omnibus accounts can also be opened)

- Financial Instruments accepted for deposit and/or settlement:

- Equities
- Collective Investment Vehicles
- Government Debt
- Corporate Debt
- Others

- Financial Instruments held in

Dematerialized form Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others

Immobilized form -

- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD settles in Central Bank money

- **Type of Participants**
 - o **Domestic**
Custodian (6), Brokers (17)

FULL TIME EMPLOYEES: 65 (AS ON 31-Dec-19)

ANNUAL REVENUE

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 8,582,574.772 | 846,812,381.423 | 9,055,699.765 |
| Other Income | 1,040,312.094 | 101,962,211.190 | 1,197,797.759 |
| | 9,622,886.866 | 948,774,592.614 | 10,253,497.524 |

LINKS WITH OTHER CSDs

- CSD has no links with other CSD

STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|---------------------------------------|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 430,942 | 430,942 | 416,935 | | | |
| Omnibus Accounts | 102 | 102 | 105 | | | |
| Number of Participants | | | | | | |
| Domestic Participants | 23 | - | 23 | | | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 356 | - | 356 | - | 353 | - |
| CIV | 11 | - | 11 | - | 12 | - |
| Debt (Federal/ National Govt.) | 15 | - | 15 | - | 22 | - |
| Debt (corporate) | 10 | - | 10 | - | 21 | - |

in USD (in millions i.e., '000000)

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|--|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Conversion Rate | 0.385 | 0.385 | 0.384 | | | |
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 32.000 | 0.003 | 0.121 | | | |
| Value of Instructions | 2,587.776 | 258.614 | 7,811.576 | | | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | 0.000 | 0.000 | 0.000 | | | |
| Value of Corporate action | 10,444.733 | 1,043.650 | 11,529.938 | | | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 37,344.603 | - | 3,731.887 | - | 37,700.573 | - |
| CIV | 749.025 | - | 74.851 | - | 758.846 | - |
| Debt (Federal/ National Govt.) | 6,007.802 | - | 600.382 | - | 8,339.367 | - |
| Debt (corporate) | 949.285 | - | 94.880 | - | 1,885.787 | - |

OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services

- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify): Issuing shareholder number- AGM / EGM managing service
- Corporate action - Cash distributions to investors bank accounts resulting from the corporate actions - Debt interest cash distribution service - Bond trustee representative / certification

MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

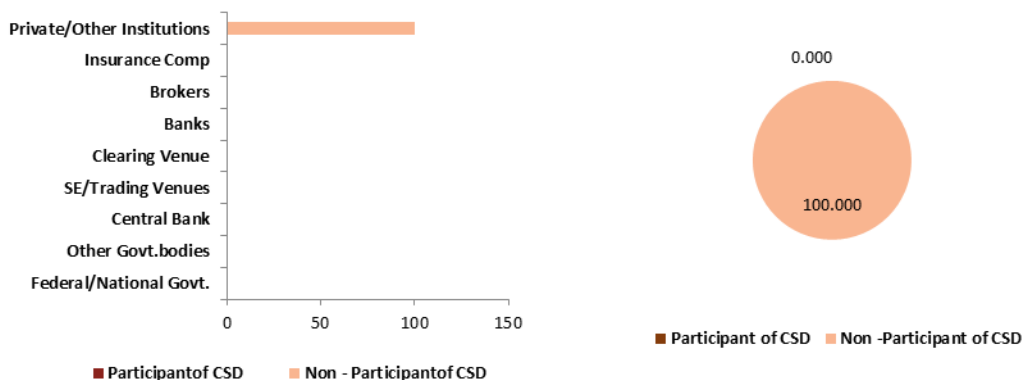
- Sign MOUs with Kuwait's clearing
- Sanad (official government offices to support open new investor account using national public key infrastructure for authentication)
- Incorporate Tax deceleration within MCD procedures
- Electronic listing of S.A.O.C
- Launching e-IPO system based on book building
- Establishing Risk & Compliance department

❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **LEI Number:** 485100001PLJJ09NZT59
- **Local Currency:** Euro (EUR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Holding Company that also owns other FMIs
- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD offers both Commercial Bank money and Central Bank money for settlement
- **Type of Participants**
 - o **Domestic** Custodian (31)

- Non-domestic
Others (2)

❑ **FULL TIME EMPLOYEES: 48 (AS ON 31-Dec-19)**

❑ **ANNUAL REVENUE**

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 8,698.996 | 7,055.892 | 7,385.300 |
| Other Income | 275.968 | 1.173 | - |
| | 8,974.964 | 7,057.065 | 7,385.300 |

❑ **LINKS WITH OTHER CSDs**

- **CSD has links with other CSD**
 - **Number of Links with other CSDs - 3**
 - Only Inbound – 2 (Only Direct)
 - Only Outbound – 1 (Only Direct)
 - **Purpose of Links with other CSDs**
 - Only FOP – 1 (Only Direct)
 - Both DVP & FOP - 2 (Only Direct)

❑ **STATISTICS & VOLUME**

| Particulars | As on 31-Dec-17 | | As on 31-Dec-18 | | As on 31-Dec-19 | |
|---------------------------------------|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 108,972 | | 82,817 | | 90,506 | |
| Omnibus Accounts | 54 | | 50 | | 50 | |
| Number of Participants | | | | | | |
| Domestic Participants | 35 | | 34 | | 31 | |
| Non-domestic Participants | 1 | | 1 | | 2 | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 6,427 | 8 | 6,701 | 23 | 6,405 | 11 |
| CIV | 42 | - | 38 | 3 | 34 | 2 |
| Debt (Federal/ National Govt.) | 82 | 346 | 290 | 150 | 71 | 45 |
| Debt (Other Govt. bodies) | 10 | - | - | - | - | - |
| Debt (corporate) | 241 | - | 116 | 383 | 257 | 340 |
| Others | - | - | 41 | 1 | 43 | 1 |

in USD (in millions i.e., '000000)

| Conversion Rate | | 0.833 | | 0.852 | | 0.853 | |
|--|-----------------|----------------|-----------------|----------------|-----------------|----------------|--|
| Settlement Instruction (During the year) | | | | | | | |
| Number of Instructions | 0.100 | | 0.191 | | 0.247 | | |
| Value of Instructions | 2,171.749 | | 24,519.079 | | 33,207.370 | | |
| Corporate Action Events (During the year) | | | | | | | |
| Number of Events handled by CSD | 0.009 | | 0.003 | | 0.003 | | |
| Value of Corporate action | 791.909 | | 1,123.781 | | 11,963.559 | | |
| Value on Deposit | | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign | |
| Equities | 20,113.278 | 1.200 | 19,912.306 | 1.483 | 20,150.050 | 0.000 | |
| CIV | 803.907 | - | 500.071 | 1.290 | 551.323 | 0.000 | |
| Debt (Federal/ National Govt.) | 5,909.318 | 883.098 | 6,452.518 | 91.498 | 7,085.940 | 74.691 | |
| Debt (Other Govt. bodies) | 129.585 | - | - | - | - | - | |

| | | | | | | |
|------------------|-----------|---|-----------|---------|-----------|---------|
| Debt (corporate) | 2,018.167 | - | 2,127.587 | 448.005 | 2,300.054 | 425.946 |
| Others | - | - | 217.835 | 55.603 | 201.189 | 37.613 |

☐ OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify)

☐ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

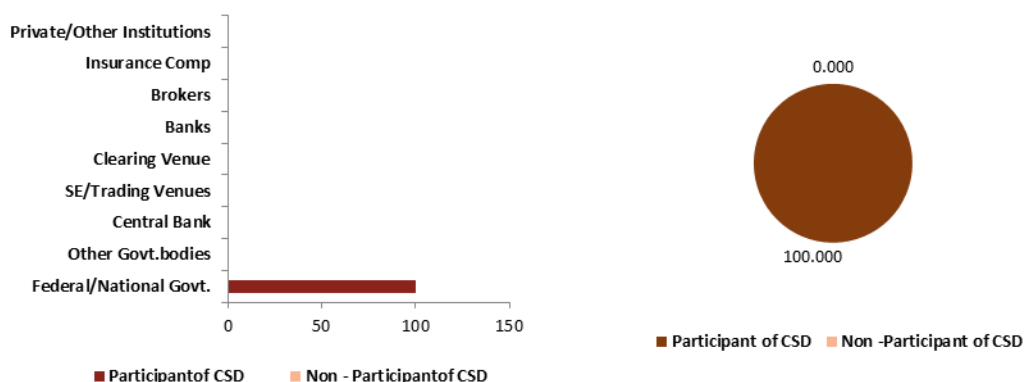
- Direct link between Clearstream Banking AG and Nasdaq CSD was activated.
- Nasdaq CSD continued to focus on obtaining accreditation of the Legal Entity Identification (LEI) Local Operating Unit (LOU) status from Global LEI Foundation.
- Nasdaq CSD started projects to comply with the upcoming Shareholders Rights Directive II and CSDR Settlement Discipline implementation.
- Activities in relation to merger of Nasdaq CSD Iceland into Nasdaq CSD continued throughout the year.

❑ **BASIC INFORMATION**

- **Regional Association:** AECSD
- **LEI Number:** 213800BNX9QP1G5HBQ10
- **Local Currency:** Azerbaijani Manat (AZN)

❑ **OWNERSHIP (AS ON 31-Dec-19)**

- **CSD is owned or controlled by Central Bank**
- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are not traded publicly.**

❑ **MARKET STRUCTURE (AS ON 31-Dec-19)**

- **Principal Account structure: Beneficial Owner**
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- **CSD or its group company does not have banking license**
- **CSD has DVP solution**
- **CSD settles in Central Bank money**
- **Type of Participants**
 - **Domestic**
 - Non-custodian Banks (8), Brokers (8)

FULL TIME EMPLOYEES: 52 (AS ON 31-Dec-19)

ANNUAL REVENUE

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 0.000 | 1,527.536 | 1,698.426 |
| Other Income | - | 99.491 | 100.693 |
| | 0.000 | 1,627.027 | 1,799.119 |

LINKS WITH OTHER CSDs

- **CSD has links with other CSD**
 - o **Number of Links with other CSDs - 2**
 - Only Inbound – 1 (Only Direct)
 - Only Outbound – 1 (Only Direct)

STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|---------------------------------------|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 110,768 | 109,615 | - | | | |
| Number of Participants | | | | | | |
| Domestic Participants | 8 | 8 | 16 | | | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 0 | - | 1,316,623 | - | 0 | - |
| Debt (Federal/ National Govt.) | - | - | 1,004,718 | - | - | - |
| Debt (Other Govt. bodies) | - | - | 145,000 | - | - | - |

in USD (in millions i.e., '000000)

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|--|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Conversion Rate | 1.700 | 1.700 | 1.696 | | | |
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 0.000 | 0.000 | 0.000 | | | |
| Value of Instructions | 0.000 | 0.000 | 0.000 | | | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | 0.000 | 0.000 | 0.000 | | | |
| Value of Corporate action | 0.000 | 0.000 | 0.000 | | | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 11,712.558 | - | 6,934.451 | - | 0.000 | - |
| CIV | - | - | - | - | - | - |
| Debt (Federal/ National Govt.) | 670.253 | - | 6,637.370 | - | - | - |
| Debt (Other Govt. bodies) | 7,858.065 | - | 501.730 | - | - | - |
| Debt (corporate) | 2,647.324 | - | - | - | - | - |
| Others | - | - | - | - | - | - |

OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services

- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify)

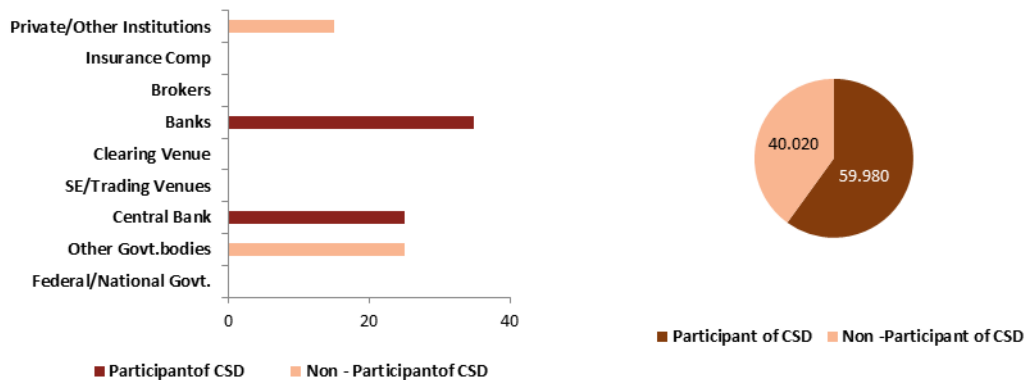
❑ BASIC INFORMATION

- **Regional Association:** AECSD, ECSDA
- **Primary Regional Association:** AECSD
- **LEI Number:** 894500QCRQPZUXB7U963
- **Local Currency:** Ukrainian Hryvnia (UAH)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI. Depository activity in Ukraine is regulated by the National Securities and Stock Market Commission. Foreign currency cross-border transactions are licensed and supervised by the National Bank of Ukraine

- Shareholding Pattern (in %)



- Shares of CSD or Holding Company are traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus (Beneficial Owner account can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Corporate Debt, Others
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution

- CSD uses external Commercial Bank money (CoBM) for settlement

- Type of Participants
 - o Domestic Custodian (178)

❑ FULL TIME EMPLOYEES: 108 (AS ON 31-Dec-19)

❑ ANNUAL REVENUE

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 2,335.889 | 2,478.162 | 2,948.468 |
| Other Income | 530.884 | 451.346 | 168.157 |
| | 2,866.773 | 2,929.508 | 3,116.625 |

❑ LINKS WITH OTHER CSDs

- CSD has links with other CSD
 - o Number of Links with other CSDs - 2
 - Only Outbound – 2 (Only Direct)
 - o Purpose of Links with other CSDs
 - Only DVP – 1 (Only Direct)
 - Only FOP – 1(Only Direct)

❑ STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | | As on 31-Dec-18 | | As on 31-Dec-19 | |
|---------------------------------------|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | - | - | - | - | 151,023 | - |
| Omnibus Accounts | 10,707 | - | 10,746 | - | 148 | - |
| Number of Participants | | | | | | |
| Domestic Participants | 203 | - | 193 | - | 178 | - |
| Non-domestic Participants | 1 | - | 1 | - | - | - |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 7,540 | 3 | 7,335 | 2 | 7,016 | 4 |
| CIV | 1,598 | - | 1,694 | - | 1,853 | - |
| Debt (Federal/ National Govt.) | - | 10 | - | 11 | - | 9 |
| Debt (Other Govt. bodies) | - | - | - | - | - | 1 |
| Debt (corporate) | 1,686 | 3 | 1,623 | 5 | 2,061 | 25 |
| Others | 825 | - | 778 | - | 747 | - |

in USD (in millions i.e., '000000)

| Conversion Rate | 28.255 | | 27.688 | | 23.686 | |
|--|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 0.035 | | 0.025 | | 0.083 | |
| Value of Instructions | 0.000 | | 8.849 | | 3,818.667 | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | 0.008 | | 0.006 | | 0.006 | |
| Value of Corporate action | 0.000 | | 18,524.888 | | 20,620.657 | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 43,370.764 | 0.389 | 44,783.811 | 0.681 | 53,232.220 | 0.633 |

| | | | | | | |
|--------------------------------|------------|--------|------------|--------|------------|--------|
| CIV | 12,887.133 | - | 13,862.104 | - | 17,016.406 | - |
| Debt (Federal/ National Govt.) | - | 17.094 | - | 19.031 | - | 16.212 |
| Debt (Other Govt. bodies) | - | - | - | - | - | 0.507 |
| Debt (corporate) | 4,113.005 | 35.817 | 4,170.840 | 42.608 | 4,866.462 | 48.383 |
| Others | 357.285 | - | 332.646 | - | 339.768 | - |

❑ OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify): -

❑ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

- In 2019, the International Rating Company Thomas Murray assessed the compliance of PJSC "NDU" with the principles of CPMI-IOSCO PFMI. It was a serious step towards transparency and openness, increasing confidence to the important system infrastructure elements of the financial market of Ukraine.
- The result of the survey determines the general assessment of the level of compliance of PJSC "NDU" as Broadly Observed, indicating that the activities of CSD are at a considerable degree with the principles.
- On September 30, 2019 the new software of CSD DEPEND Q developed on the basis of ISO 15022, SWIFT Rules, laws and regulations of Ukraine, was put into commercial operations.
- The new IT platform is aimed to implement technologies used in developed European securities markets into Ukrainian depository accounting practices.
- During 2019 a part of our activity was aimed at modernizing of the technical component of the infrastructure of CSD. For this purpose, the procurement and adaption of server equipment for power gain, modernization of data processing centers of CSD was accomplished. The outcome of work performance in 2019 was increasing of fault tolerance of the system, the reliability and security of the infrastructure of CSD and improving execution speed of operating systems.
- In 2019, PJSC NDU paid considerable attention to the development of legislation aimed at protecting property rights, introducing new financial instruments and technological services for servicing corporate events, and improving the investment climate in Ukraine.

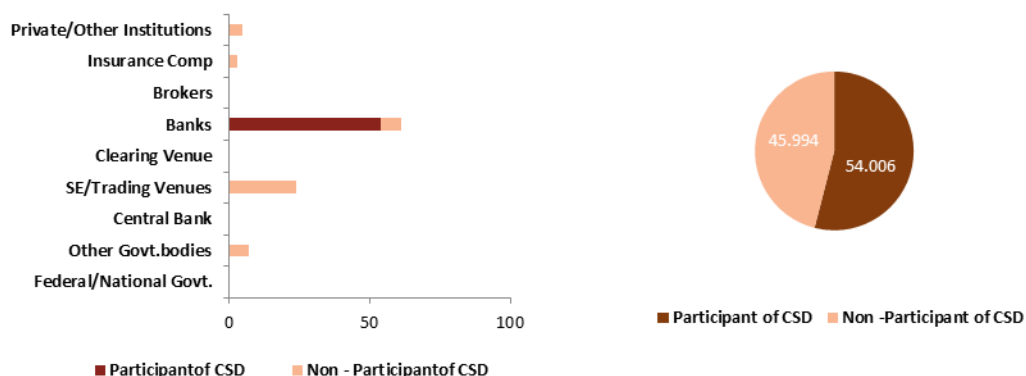
❑ BASIC INFORMATION

- **Regional Association:** ACG, AECSD, AMEDA
- **Primary Regional Association:** ACG
- **Local Currency:** Indian Rupee (INR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- NSDL is an independent company with its independent businesses and is not a part of a group of companies

- Shareholding Pattern (in %)



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure: Beneficial Owner**
- **Financial Instruments accepted for deposit and/or settlement**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- CSD or its group company have banking license
- CSD has no DVP solution
- **Type of Participants**
 - **Domestic**
Custodian (6), Non-custodian Banks (50), Brokers (214), Others (9)

❑ **FULL TIME EMPLOYEES: 347 (AS ON 31-Dec-19)**

❑ **ANNUAL REVENUE**

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 31,318.041 | 28,843.115 | 30,476.790 |
| Other Income | 5,725.615 | 5,150.406 | 6,028.335 |
| | 37,043.656 | 33,993.521 | 36,505.126 |

❑ **LINKS WITH OTHER CSDs**

- **CSD has links with other CSD**

○ **Number of Links with other CSDs - 2**

- Only Outbound – 1 (Only Direct)
- Both Inbound and Outbound – 1 (Only Direct)

○ **Purpose of Links with other CSDs**

- Only FOP – 2 (Only Direct)

❑ **STATISTICS & VOLUME**

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|---------------------------------------|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 17,567,772 | 18,083,461 | 19,634,728 | | | |
| Number of Participants | | | | | | |
| Domestic Participants | 268 | 276 | 279 | | | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 25,611 | - | 30,076 | - | 37,802 | - |
| CIV | 23,989 | - | 26,412 | - | 26,759 | - |
| Debt (Federal/ National Govt.) | 3,020 | - | 3,345 | - | 3,619 | - |
| Debt (Other Govt. bodies) | 331 | - | 314 | - | 334 | - |
| Debt (corporate) | 23,527 | - | 23,237 | - | 23,117 | - |
| Others | 173 | - | 216 | - | 207 | - |

in USD (in millions i.e., '000000)

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|--|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Conversion Rate | 63.850 | 69.605 | 71.292 | | | |
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 194.000 | 204.085 | 185.047 | | | |
| Value of Instructions | 4,251,984.965 | 3,687,040.259 | 3,365,310.600 | | | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | 0.268 | 0.385 | 0.427 | | | |
| Value of Corporate action | 616,272.473 | 808,508.533 | 804,013.631 | | | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 2,161,036.023 | - | 1,933,870.485 | - | 2,067,990.951 | - |
| CIV | 16,345.126 | - | 20,245.966 | - | 34,242.927 | - |
| Debt (Federal/ National Govt.) | 2,102.317 | - | 2,117.821 | - | 2,386.330 | - |
| Debt (Other Govt. bodies) | 18,481.147 | - | 17,683.913 | - | 24,378.670 | - |
| Debt (corporate) | 569,766.387 | - | 584,519.653 | - | 571,058.877 | - |
| Others | 431.725 | - | 579.989 | - | 537.769 | - |

❑ OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify): Consolidated Account statement

❑ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)**1. Framework for Innovation Sandbox**

- Capital markets in India have been early adopters of technology. Accordingly, encouraging adoption and usage of financial technology (FinTech) would have a profound impact on the development of securities market. FinTech can act as a catalyst to further develop and maintain an efficient, fair and transparent securities market ecosystem. To create an ecosystem which promotes innovation in the securities market, it was felt that FinTech firms should have access to market related data, particularly, trading and holding data, which is otherwise not readily available to them, to enable them to test their innovations effectively before the introduction of such innovations in a live environment.
- To operationalize the abovementioned endeavor, an Innovation Sandbox which would act as a testing environment for FinTech firms and other entities / individuals, has been created. These entities may use the environment for offline testing of their proposed solutions in isolation from the live market, subject to fulfillment of the eligibility criteria, based on market related data made available by Stock Exchanges, Depositories and Qualified Registrar and Share Transfer Agents.

2. Framework for the process of accreditation of investors for the purpose of Innovators Growth Platform

- Accredited investor is a new set of investor category introduced by Indian Capital Market Regulator SEBI, with an intent to include investments made by individual investors, HNIs, super angels etc. in the companies as part of the minimum institutional holding criteria
- Accredited Investors (AIs) for the limited purpose of Innovators Growth Platform (IGP) are investors whose holding in the Issuer Company, is eligible for the computation of at least 25% of the pre-issue capital in accordance with Regulations

- The Innovators Growth Platform will provide a boost for startups seeking to get listed on the Stock Exchanges.

3. Margin obligations to be given by way of Pledge/ Re-pledge in the Depository System

- A framework has been devised to mitigate the risk of misappropriation or misuse of client's securities available with the Trading Member (TM)/Clearing Member (CM) /Depository Participant (DP). The misappropriation or misuse would include use of one client securities to meet the exposure, margin or settlement obligations of another client or of the TM/CM. Accordingly, collateral of securities, only by way of Margin Pledge, shall be accepted by the TM from the clients and transfer of securities which results in change in ownership of securities in the records of depository would be prohibited. Depository system is being enhanced for the same.

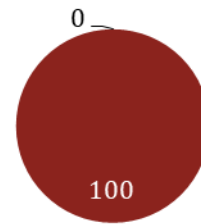
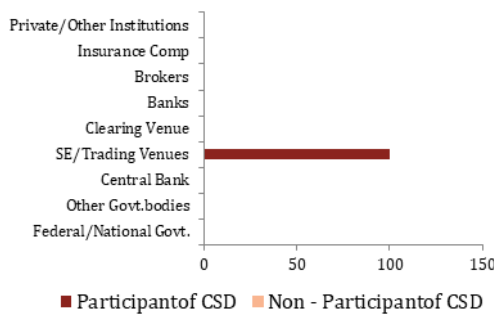
❑ BASIC INFORMATION

- **Regional Association:** AECSD, ECSDA
- **Primary Regional Association:** AECSD
- **LEI Number:** 253400M18U5TB02TW421
- **Local Currency:** Russian Ruble (RUB)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Stock Exchange

- Shareholding Pattern (in %)



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus (Beneficial Owner account can also be opened)

- Financial Instruments accepted for deposit and/or settlement:

- Equities
- Collective Investment Vehicles
- Government Debt
- Corporate Debt
- Others

- Financial Instruments held in

- | | |
|----------------------------|---|
| Dematerialized form | Equity, Collective Investment Vehicles |
| Immobilized form | Government Debt, Corporate Debt, Others |

- CSD or its group company have banking license
- CSD has DVP solution
- CSD offers both Commercial Bank money and Central Bank money for settlement



- **Type of Participants**

- **Domestic**
Others (2138)
- **Non-domestic**
Others (250)

□ **FULL TIME EMPLOYEES: 511 (AS ON 31-Dec-19)**

□ **ANNUAL REVENUE**

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 77,446.158 | 74,072.939 | 92,269.376 |
| Other Income | 36,474.381 | 27,636.384 | 40,545.304 |
| | 113,920.539 | 101,709.323 | 132,814.680 |

□ **LINKS WITH OTHER CSDs**

- **CSD has links with other CSD**

- **Number of Links with other CSDs - 9**
 - Only Inbound – 1 (Only Direct)
 - Only Outbound – 2 (Only Direct)
 - Both Inbound and Outbound – 6 (Only Direct)
- **Purpose of Links with other CSDs**
 - Only FOP – 6 (Only Direct)
 - Both DVP & FOP - 3 (Only Direct)

□ **STATISTICS & VOLUME**

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|---------------------------------------|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | - | 1,553 | 1,445 | | | |
| Omnibus Accounts | 3,385 | 2,524 | 2,548 | | | |
| Number of Participants | | | | | | |
| Domestic Participants | - | 2,163 | 2,138 | | | |
| Non-domestic Participants | - | 243 | 250 | | | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 4,662 | 1,897 | 5,066 | 2,830 | 5,126 | 3,473 |
| CIV | 678 | 493 | 707 | 767 | 731 | 888 |
| Debt (Federal/ National Govt.) | 64 | 329 | 66 | 493 | 70 | 562 |
| Debt (Other Govt. bodies) | 139 | 21 | 130 | - | 124 | - |
| Debt (corporate) | 1,412 | 5,716 | 1,480 | 8,484 | 1,824 | 10,586 |
| Others | 3 | - | 30 | 3 | 24 | 12 |

in USD (in millions i.e., '000000)

| Conversion Rate | 57.738 | 69.367 | 62.084 |
|--|---------------|---------------|---------------|
| Settlement Instruction (During the year) | | | |
| Number of Instructions | 3,035 | 3,365 | 4,093 |
| Value of Instructions | 6,951,847.121 | 6,832,482.662 | 8,583,603.475 |
| Corporate Action Events (During the year) | | | |
| Number of Events handled by CSD | 0.006 | 0.006 | 0.007 |
| Value of Corporate action | 233,605.047 | 278,698.399 | 268,989.339 |
| Value on Deposit | | | |

| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
|--------------------------------|-------------|-------------|-------------|------------|-------------|------------|
| Equities | 284,145.779 | 7,471.879 | 259,129.855 | 11,777.821 | 362,286.245 | 10,293.677 |
| CIV | 1,333.757 | 741,553.600 | 145.238 | 421.845 | 580.292 | 826.487 |
| Debt (Federal/ National Govt.) | 144,761.498 | 608.368 | 151,213.261 | 819.916 | 206,483.686 | 1,232.734 |
| Debt (Other Govt. bodies) | 15,875.103 | - | 8,162.588 | - | 9,762.215 | - |
| Debt (corporate) | 171,330.247 | 53,788.495 | 149,277.206 | 56,960.848 | 189,781.564 | 54,795.732 |
| Others | 1,698.663 | - | 10,395.273 | 0.000 | 12,285.406 | 1.613 |

❑ OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify)

❑ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

- On 23 April 2019, NSD's Supervisory Board approved the NSD Development Strategy

2019-2024

- Product and service development in accordance with the key strategic priorities: -
 - Settlement and Custody Infrastructure
 - New Services and Customer Segments
 - Data Assets
- SETTLEMENT AND CUSTODY INFRASTRUCTURE
 - DVP-2 in Bank of Russia money: new functionality was implemented
 - DCS Web-client: migration from LUCH (for settlement and depository services)
 - A first foreign nominee account was opened for a foreign custodian bank (RBI)
 - NSD passed through GLEIF's One Year AAV, confirming its LOU status for maintaining LEI codes
- NEW SERVICES AND CUSTOMER SEGMENTS
 - The NSD Payment System is prepared (in terms of compliance and technology) to act as a marketplace settlement platform
 - Collateral management was launched for liquidity investment by St. Petersburg.
 - Development of platform solutions for B2B and B2B2C client segments
- DATA SEGMENTS
 - Fair valuation: fair valuation methodologies for floaters, mortgage-backed securities, corporate and Ministry of Finance's Eurobonds were introduced; an option to make repo trades with the Federal Treasury based on fair values calculated by the Valuation Center was offered
 - NSDDATA.RU: the functionality and the set of data available were broadened.

- Vendor solutions: new vendors were added, the products (including RU DATA PRICE) were modified
- The current data infrastructure was audited
- The Strategy Committee approved a concept of monetization of data (Big Data) collected by NSD.
- Maintenance of operational reliability:
 - High operational reliability is proven by indicator D0 (99.98)
 - NSD successfully passed the ISAE 3402 Type II Operational Audit (SOC1)
 - The high maturity level of the risk management and internal control systems was confirmed by the independent audits conducted by EY and Bank of Russia
 - DR tests and business continuity drills were conducted, technological monitoring was developed.
- Protection from cyber threats
 - A Data Loss Prevention (DLP) system was implemented
 - The process for secure development of program codes was modernized.

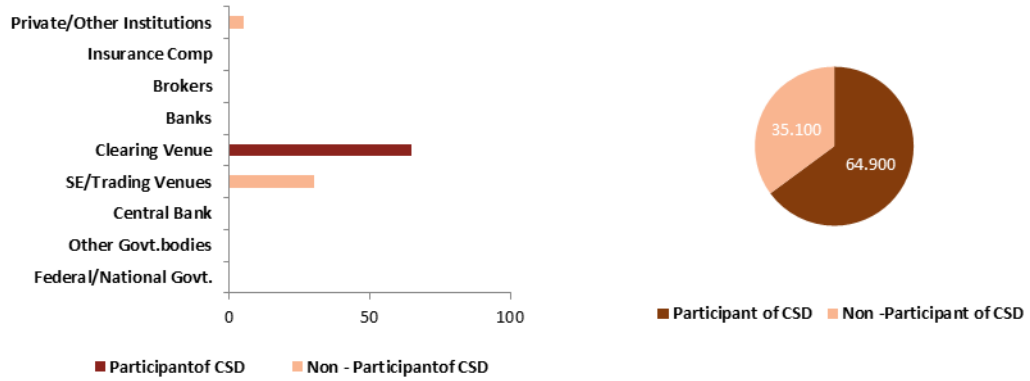
❑ BASIC INFORMATION

- **Regional Association:** AECSD, AMEDA, ECSDA
- **Primary Regional Association:** AECSD
- **LEI Number:** 789000XLUXTY4KRN2E81
- **Local Currency:** Turkish Lira (TRY)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Stock Exchange. Takasbank is the major shareholder of MKK with 64.9%. Borsa Istanbul owns 64.14% of Takasbank and in directly has 71.3% of the capital share in MKK.

- Shareholding Pattern (in %)



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure: Beneficial Owner (Omnibus accounts can also be opened)**
- **Financial Instruments accepted for deposit and/or settlement**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☑ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- CSD does not have banking license
- CSD has DVP solution through its cash clearing agent (Takasbank)
- CSD uses external Commercial Bank money (CoBM) for settlement

- **Type of Participants**

o **Domestic**

Custodian (12), Non-custodian Banks (32), Brokers (72)

□ **FULL TIME EMPLOYEES: 213 (AS ON 31-Dec-19)**

□ **ANNUAL REVENUE**

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 23,891.843 | 15,694.001 | 17,487.414 |
| Other Income | 2,623.413 | 2,864.114 | 2,968.727 |
| | 26,515.255 | 18,558.114 | 20,456.141 |

□ **LINKS WITH OTHER CSDs**

- **CSD has links with other CSD**

o **Number of Links with other CSDs - 1**

▪ Both Inbound and Outbound - 1 (Only Direct)

o **Purpose of Links with other CSDs**

▪ Only FOP - 1 (Only Direct)

□ **STATISTICS & VOLUME**

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|---------------------------------------|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 45,395,598 | 46,364,771 | 47,219,505 | | | |
| Number of Participants | | | | | | |
| Domestic Participants | 122 | 115 | 116 | | | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 780 | - | 790 | - | 798 | - |
| CIV | 569 | - | 515 | - | 569 | - |
| Debt (corporate) | 736 | - | 2,290 | - | 2,634 | - |
| Others | 1,731 | - | 137 | - | 118 | - |

in USD (in millions i.e., '000000)

| Conversion Rate | 3.795 | 7.237 | 7.238 | | | |
|--|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 168 | 178 | 168 | | | |
| Value of Instructions | 24,161,615.970 | 15,581,213.463 | 120,232,300.791 | | | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | 0.004 | 0.005 | 0.005 | | | |
| Value of Corporate action | 30,942.676 | 23,501.014 | 27,964.858 | | | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 232,044.910 | - | 109,413.782 | - | 163,619.144 | - |
| CIV | 14,862.054 | - | 7,296.739 | - | 16,965.041 | - |
| Debt (Federal/ National Govt.) | 60,532.149 | - | 29,593.353 | - | 32,086.785 | - |
| Debt (corporate) | 17,660.414 | - | 9,884.764 | - | 12,796.693 | - |
| Others | 1,805.325 | - | 2,609.581 | - | 2,931.010 | - |

❑ OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify): MKK value added services are provided through e-MKK Information Portal components such as e-CAS (Investor Notification and Alert System), e-GOVERNANCE (Corporate Governance and Investor Relations), e-GEM (Electronic General Assembly Meeting System), e-COMPANY (Companies Information Portal), e-DATA (Capital Markets Data Bank), e-WAREHOUSE RECEIPTS (Electronic Warehouse Receipts Center), e-BDS (Electronic Board of Directors System).

❑ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

- “PDP Mobile” application developed by MKK was promoted in national media.
- The validity period of the ISO 27001 Information Security Management System certificate issued to MKK was extended after comprehensive audits by 2 years, until April 19, 2021. The validity period of the ISO 22301 Business Continuity Management System certificate issued to MKK was extended following comprehensive audits by 3 years, until November 27, 2022.
- First Electronic Warehouse Receipts (EWRs) on chickpeas were issued. We completed all works to include the EWR clearing transactions on Turkish Mercantile Exchange (TME), launched on July 26, 2019, and initiated the transactions on the Central Dematerialized System
- Crowdfunding System Project was initiated.
- e-BDS Mobile application was developed.
- The "e-TRADE REPOSITORY: Electronic Trade Repository Platform" and the "e-BDS: Electronic Board of Directors System" applications earned MKK both the first and second places in the "Governance, Risk and Compliance" category at the IDC Finance Summit 2019 organized by IDC.

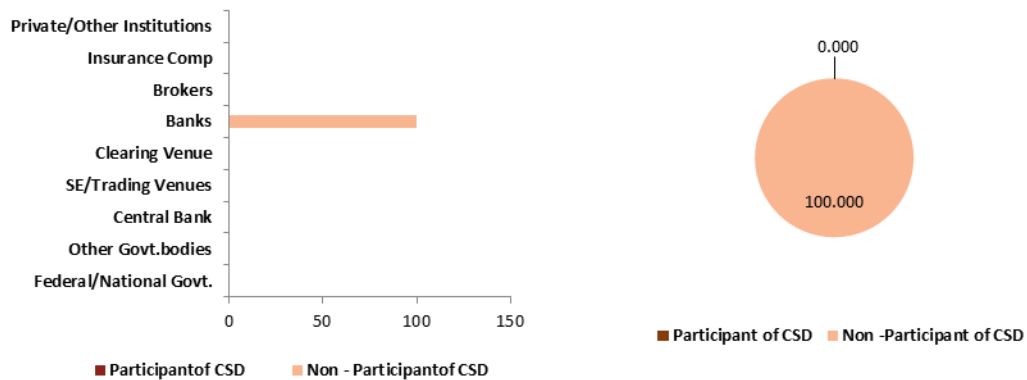
❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **LEI Number:** 529900UXJ594WXFBTF87
- **Local Currency:** Euro (EUR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI. OeKB CSD is 100% owned by OeKB AG. OeKB AG owns 50% of the Austrian Central Counterparty (CCP.A) and 6.6% of CEE Stock Exchange Group (CEE).

- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** -
 - Immobilized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
- CSD or its group company have banking license
- CSD has DVP solution

- CSD settles in Central Bank money

- Type of Participants

- Domestic
 - Custodian (1), Non-custodian Banks (45), Others (4)
- Non-domestic
 - Custodian (8), Non-custodian Banks (12), Brokers (3), Others (1)

□ FULL TIME EMPLOYEES: 38 (AS ON 31-Dec-19)

□ ANNUAL REVENUE

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|-------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 25,111.901 | 24,250.747 | 22,854.287 |
| Other Income | - | - | - |
| | 25,111.901 | 24,250.747 | 22,854.287 |

□ LINKS WITH OTHER CSDs

- CSD has links with other CSD
 - Number of Links with other CSDs - 9
 - Only Inbound – 5 (Only Direct)
 - Only Outbound – 1 (Only Direct)
 - Both Inbound and Outbound – 3 (Only Direct)
 - Purpose of Links with other CSDs
 - Both DVP & FOP - 9 (Only Direct)

□ STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | | As on 31-Dec-18 | | As on 31-Dec-19 | |
|---------------------------------------|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Omnibus Accounts | 489 | | 486 | | 480 | |
| Number of Participants | | | | | | |
| Domestic Participants | 55 | | 52 | | 50 | |
| Non-domestic Participants | 23 | | 25 | | 24 | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 147 | 423 | 136 | 567 | 135 | 621 |
| CIV | 2,909 | 100 | 2,959 | 122 | 2,852 | 119 |
| Debt (Federal/ National Govt.) | 35 | 5 | 31 | 103 | 33 | 105 |
| Debt (Other Govt. bodies) | 24 | - | 30 | 67 | 32 | 66 |
| Debt (corporate) | 5,205 | 803 | 4,499 | 493 | 4,386 | 260 |
| Others | 6,190 | 74 | 6,630 | 31 | 6,447 | 29 |

in USD (in millions i.e., '000000)

| Conversion Rate | 0.833 | 0.850 | 0.851 |
|--|-------------|---------------|-------------|
| Settlement Instruction (During the year) | | | |
| Number of Instructions | 1.215 | 1.311 | 1.322 |
| Value of Instructions | 952,767.037 | 1,023,993.937 | 752,481.599 |
| Corporate Action Events (During the year) | | | |
| Number of Events handled by CSD | 0.020 | 0.020 | 0.018 |
| Value of Corporate action | 58,085.746 | 188,132.945 | 181,679.228 |

| Value on Deposit | | | | | | |
|--------------------------------|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 157,182.424 | 3,569.756 | 125,621.761 | 1,883.410 | 139,131.276 | 2,153.379 |
| CIV | 178,784.700 | 313.866 | 181,716.668 | 261.383 | 173,666.530 | 233.983 |
| Debt (Federal/ National Govt.) | 246,032.149 | 109.556 | 206,474.532 | 9,564.225 | 229,767.965 | 9,748.641 |
| Debt (Other Govt. bodies) | 1,256.199 | - | 961.664 | 1,098.436 | 986.651 | 855.240 |
| Debt (corporate) | 127,300.351 | 17,240.566 | 157,173.358 | 5,787.211 | 127,948.503 | 2,019.750 |
| Others | 3,621.135 | 23.321 | 5,806.583 | 67.206 | 6,234.127 | 60.740 |

OTHER SERVICES (AS ON 31-Dec-19)

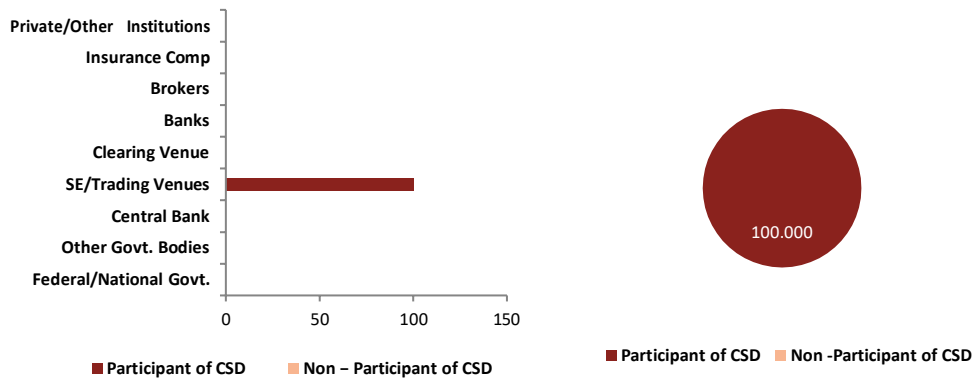
- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify)

❑ BASIC INFORMATION

- **Regional Association:** AMEDA
- **Local Currency:** United States Dollar (USD)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **CSD is owned or controlled by Stock Exchange**
- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity
 - Immobilized form** -
- **CSD or its group company does not have banking license**
- **CSD has DVP solution**
- **CSD settles in Central Bank money**
- **Type of Participants**
 - **Domestic**
 - Custodian (2), Brokers (8)

- Non-domestic Custodian (2)

❑ FULL TIME EMPLOYEES: 37 (AS ON 31-Dec-19)

❑ ANNUAL REVENUE

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|-------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 2,830.000 | 2,330.000 | 1,920.000 |
| Other Income | 730.000 | 620.000 | 710.000 |
| | 3,560.000 | 2,950.000 | 2,630.000 |

❑ LINKS WITH OTHER CSDs

- CSD does not have links with other CSD

❑ STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | | As on 31-Dec-18 | | As on 31-Dec-19 | |
|---------------------------------------|-----------------|---------|-----------------|---------|-----------------|---------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 111,561 | | 119,544 | | 121,637 | |
| Number of Participants | | | | | | |
| Domestic Participants | 10 | | 10 | | 10 | |
| Non-domestic Participants | 2 | | 2 | | 2 | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 48 | - | 48 | - | 48 | - |

in USD (in millions i.e., '000000)

| Particulars | As on 31-Dec-17 | | As on 31-Dec-18 | | As on 31-Dec-19 | |
|--|-----------------|---------|-----------------|-----------|-----------------|-----------|
| Conversion Rate | | | | | | |
| | 1.000 | | 1.000 | | 1.000 | |
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 0.001 | | 0.001 | | 0.001 | |
| Value of Instructions | 117.860 | | 67.178 | | 42.946 | |
| Corporate Action Events (During the year) | | | | | | |
| Value of Corporate action | 66.100 | | 156.246 | | 74.279 | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 2.480 | 1.411 | 2,366.590 | 1,368.330 | 2,466.280 | 1,291.220 |

❑ OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify): E_IPO service

❑ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

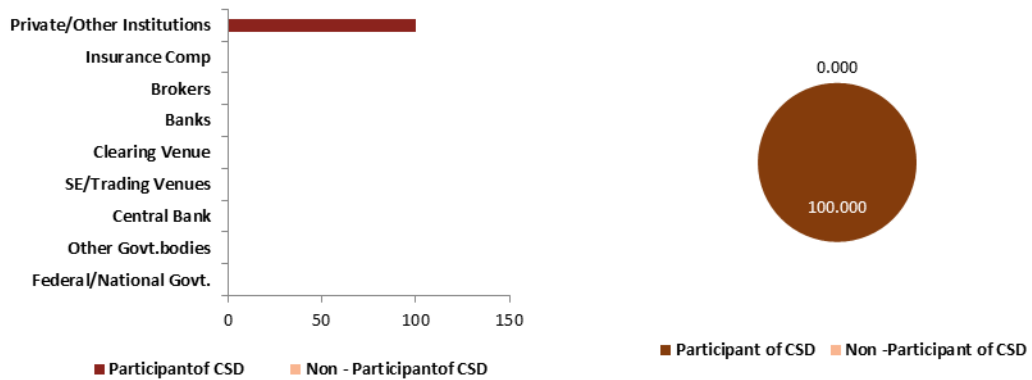
- Start using the CSD in-house system which will handle central securities operations and post trade services.

❑ BASIC INFORMATION

- **Regional Association:** ACG
- **LEI Number:** 549300UJRT4KE08RIS90
- **Local Currency:** Philippine Peso (PHP)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **CSD is owned or controlled by Holding Company that also owns other FMIs**
- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are not traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure: Omnibus (Beneficial Owner account can also be opened)**
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- **CSD has quasi-banking license**
- **CSD has DVP solution**
- **CSD settles in Central Bank money**

- **Type of Participants**

- **Domestic**
Custodian (4), Brokers (187), Others (68)
- **Non-domestic**
Others (1)

FULL TIME EMPLOYEES: 107 (AS ON 31-Dec-19)

ANNUAL REVENUE

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | - | 14,709.018 | 16,057.133 |
| Other Income | - | 322.5278 | 460.979 |
| | - | 15,031.546 | 16,518.1126 |

LINKS WITH OTHER CSDs

- CSD has no links with other CSD

STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|---------------------------------------|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Omnibus Accounts | - | 16,342 | 17,974 | | | |
| Number of Participants | | | | | | |
| Domestic Participants | - | 261 | 259 | | | |
| Non-domestic Participants | - | 1 | 1 | | | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | - | - | 267 | - | 268 | - |
| CIV | - | - | 1 | - | 1 | - |
| Debt (Federal/ National Govt.) | - | - | 120 | - | 106 | - |
| Debt (corporate) | - | - | 141 | - | 154 | - |

in USD (in millions i.e., '000000)

| | | | | | | |
|--|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Conversion Rate | - | 52.724 | 50.744 | | | |
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | - | 0.053 | 0.009 | | | |
| Value of Instructions | - | 22,500.567 | 1,314.974 | | | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | - | 0.001 | 0.001 | | | |
| Value of Corporate action | - | 13,643.865 | 6,470.307 | | | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | - | - | 104,584.170 | - | 103,766.786 | - |
| CIV | - | - | 29.058 | - | 32.595 | - |
| Debt (Federal/ National Govt.) | - | - | 181.450 | - | 200.273 | - |
| Debt (corporate) | - | - | 580.125 | - | 892.224 | - |

OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions

- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify)

☐ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

The Name-on-Central-Depository (NoCD) Facility, a PDTC offering for its Depository Participants, primarily to broker intermediaries, allows the Depository Participant to maintain each of its clients holdings in a segregated, sub-account set-up. For the year 2019, the NoCD Facility has been extended to be implemented for primary issuance in the fixed income market. With the implementation of NoCD Facility, processes for submission of investor documents and for secondary trading have been streamlined significantly. Further with the objective of investor protection and having more transparency in the market, the general direction of the regulatory authorities is towards the adoption of NoCD arrangement.

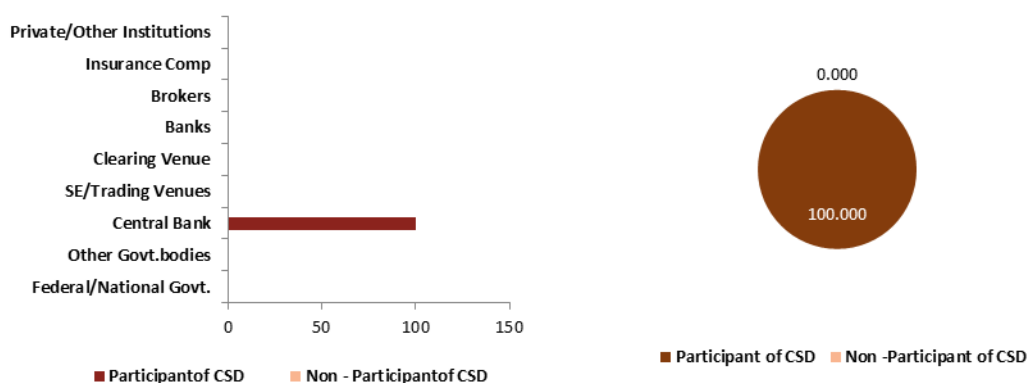


❑ BASIC INFORMATION

- **Regional Association:** AMEDA
- **Local Currency:** Qatari Rial (QAR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **CSD is owned or controlled by Central Bank**
- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are not traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure: Beneficial Owner**
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Government Debt, Others
 - Immobilized form** -
- **CSD or its group company does not have banking license**
- **CSD has DVP solution**
- **CSD settles in Central Bank money**
- **Type of Participants**
 - o **Domestic**
 - Custodian (3), Others (50)



- Non-domestic
Others (55)

FULL TIME EMPLOYEES: 45 (AS ON 31-Dec-19)

LINKS WITH OTHER CSDs

- CSD has no links with other CSD

STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|---------------------------------------|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 955,883 | 986,121 | 986,121 | | | |
| Number of Participants | | | | | | |
| Domestic Participants | 58 | 53 | 53 | | | |
| Non-domestic Participants | - | 55 | 55 | | | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 45 | - | 48 | - | 48 | - |
| Debt (Federal/ National Govt.) | - | - | 52 | - | 52 | - |
| Others | 2 | - | 2 | - | 2 | - |

in USD (in millions i.e., '000000)

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|---|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Conversion Rate | 3.640 | 3.650 | 3.650 | | | |
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 0.834 | - | - | | | |
| Value of Instructions | 18,199.451 | - | - | | | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 129,676.923 | - | - | - | - | - |
| Debt (Federal/ National Govt.) | 11,421.703 | - | - | - | - | - |

OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify)

MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

- QCSD is working on a project to replace its existing post trade CSD system
- QCSD has undertaken critical projects on technology fronts



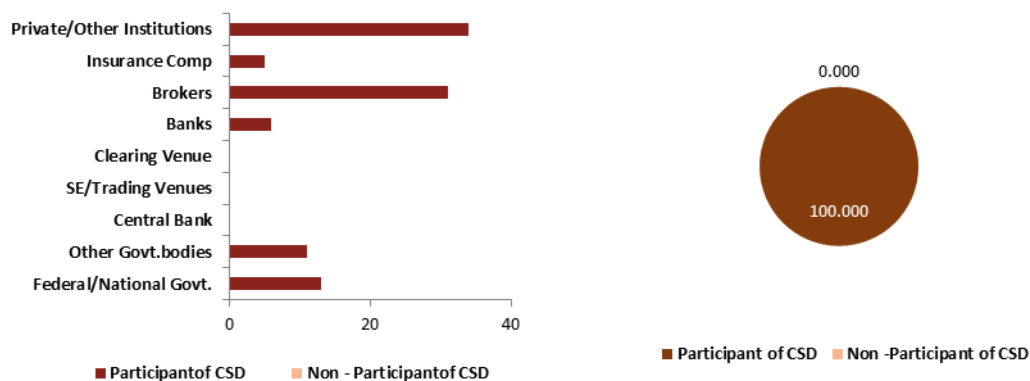
- QCSD with other market infrastructure Participants, facilitate in providing new services
- QCSD has registered new IPO
- QCSD has taken measures to digitalize its services (With Shareholding companies, with Ministry and Courts)
- QCSD has taken measures to provide e-services

❑ BASIC INFORMATION

- **Regional Association:** AMEDA
- **Local Currency:** CFA Franc BCEAO (XOF)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are not traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** Collective Investment Vehicles
- **CSD or its group company does not have banking license**
- **CSD has DVP solution**
- **CSD settles in Central Bank money**
- **Type of Participants**
 - o **Domestic**
Custodian (9), Brokers (30)

FULL TIME EMPLOYEES: 9 (AS ON 31-Dec-19)

ANNUAL REVENUE

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|-------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | - | 4,539.513 | 4,339.749 |
| Other Income | - | 361.507 | 348.607 |
| | - | 4,901.020 | 4,688.355 |

LINKS WITH OTHER CSDs

- CSD has no links with other CSD

STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | | As on 31-Dec-18 | | As on 31-Dec-19 | |
|---------------------------------------|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Omnibus Accounts | - | | 786 | | 1,013 | |
| Number of Participants | | | | | | |
| Domestic Participants | - | | 36 | | 39 | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 0 | - | 45 | - | 46 | - |
| CIV | - | - | 33 | - | 33 | - |
| Debt (Federal/ National Govt.) | - | - | 34 | - | 47 | - |
| Debt (Other Govt. bodies) | - | - | 12 | - | 14 | - |
| Debt (corporate) | - | - | 29 | - | 28 | - |

in USD (in millions i.e., '000000)

| Particulars | As on 31-Dec-17 | | As on 31-Dec-18 | | As on 31-Dec-19 | |
|--|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Conversion Rate | - | | 572.614 | | 584.270 | |
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | - | | 0.115 | | 0.086 | |
| Value of Instructions | - | | 833.729 | | 461.324 | |
| Corporate Action Events (During the year) | | | | | | |
| Value of Corporate action | - | | 1,245.374 | | 1,452.966 | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | - | - | 8,461.300 | - | 8,113.715 | - |
| Debt (Federal/ National Govt.) | - | - | 6,170.369 | - | 7,440.304 | - |
| Debt (Other Govt. bodies) | - | - | 376.207 | - | 399.954 | - |
| Debt (corporate) | - | - | 370.924 | - | 360.137 | - |

OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify)

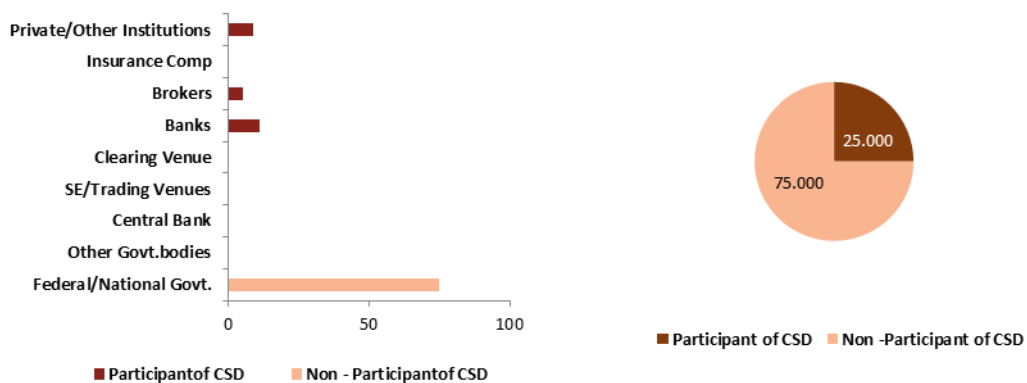
❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **Local Currency:** Bosnia-Herzegovina Convertible Mark (BAM)

❑ OWNERSHIP (AS ON 31-Dec-19)

- RVP is mostly owned by the Government of the Federation of Bosnia and Herzegovina (75%) and controlled by the Securities Commission of Federation of Bosnia and Herzegovina that is Government body.

- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner (Omnibus accounts can also be opened)

- **Financial Instruments accepted for deposit and/or settlement:**

- Equities
- Collective Investment Vehicles
- Government Debt
- Corporate Debt
- Others

- **Financial Instruments held in**

- Dematerialized form** Equity, Government Debt, Corporate Debt
- Immobilized form** -

- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD settles in Central Bank money

- **Type of Participants**

o **Domestic**

Custodian (4), Non-custodian Banks (1), Brokers (4)

FULL TIME EMPLOYEES: 29 (AS ON 31-Dec-19)

ANNUAL REVENUE

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 1,274.197 | 1,203.073 | 1,045.699 |
| Other Income | 111.653 | 79.725 | 105.148 |
| | 1,385.850 | 1,282.798 | 1,150.846 |

LINKS WITH OTHER CSDs

- **CSD has no links with other CSD**

STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|---------------------------------------|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 671,540 | 660,429 | 672,745 | | | |
| Omnibus Accounts | 5 | 5 | 4 | | | |
| Number of Participants | | | | | | |
| Domestic Participants | 11 | 10 | 9 | | | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 597 | - | 579 | - | 568 | - |
| CIV | - | - | - | - | - | - |
| Debt (Federal/ National Govt.) | 38 | - | 31 | - | 33 | - |
| Debt (Other Govt. bodies) | 7 | - | 3 | - | 4 | - |
| Debt (corporate) | 10 | - | 8 | - | 7 | - |

in USD (in millions i.e., '000000)

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|--|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Conversion Rate | 1.630 | 1.668 | 1.731 | | | |
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 0.005 | 0.005 | 0.004 | | | |
| Value of Instructions | 112.880 | 86.919 | 103.992 | | | |
| Corporate Action Events (During the year) | | | | | | |
| Value of Corporate action | 586.486 | 421.405 | 346.063 | | | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 6,957.530 | - | 6,855.778 | - | 6,554.394 | - |
| Debt (Federal/ National Govt.) | 531.404 | - | 403.422 | - | 411.347 | - |
| Debt (Other Govt. bodies) | 11.660 | - | 10.790 | - | 15.599 | - |
| Debt (corporate) | 7.660 | - | 7.193 | - | 35.242 | - |

OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services

- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify): -

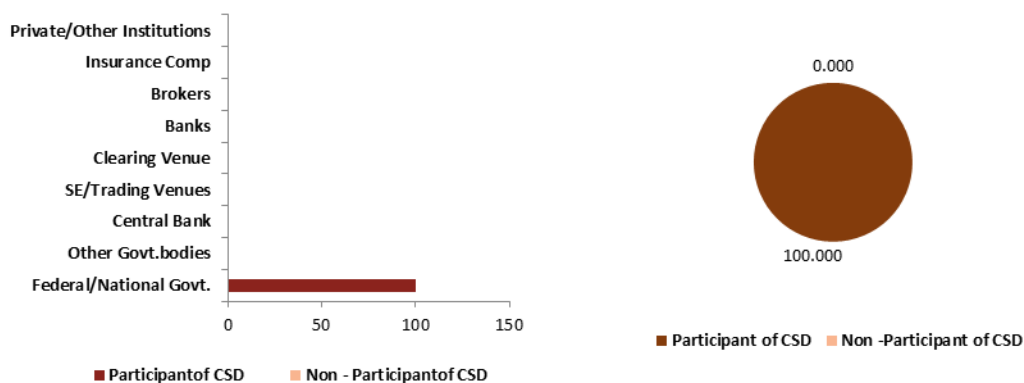
❑ BASIC INFORMATION

- **Regional Association:** AECSD
- **Local Currency:** Belarusian Ruble (BYN)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI. The CSD is controlled by the Ministry of Finance of the Republic of Belarus

- Shareholding Pattern (in %)



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus (Beneficial Owner account can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has no DVP solution

- **Type of Participants**

- **Domestic**
Others (27)
- **Non-domestic**
Others (7)

□ **FULL TIME EMPLOYEES: 24 (AS ON 31-Dec-19)**

□ **ANNUAL REVENUE**

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 325.732 | 337.037 | 404.739 |
| Other Income | 28.582 | 25.000 | 27.488 |
| | 354.314 | 362.037 | 432.227 |

□ **LINKS WITH OTHER CSDs**

- **CSD has links with other CSD**
 - **Number of Links with other CSDs - 6**
 - Only Inbound – 3 (Only Direct)
 - Both Inbound and Outbound – 3 (Only Direct)
 - **Purpose of Links with other CSDs**
 - Only FOP – 6(Only Direct)

□ **STATISTICS & VOLUME**

| Particulars | As on 31-Dec-17 | | As on 31-Dec-18 | | As on 31-Dec-19 | |
|---------------------------------------|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 1,193 | | 1,173 | | 1,184 | |
| Omnibus Accounts | - | | 35 | | 34 | |
| Number of Participants | | | | | | |
| Domestic Participants | 1,210 | | 29 | | 27 | |
| Non-domestic Participants | 18 | | 6 | | 7 | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 4,308 | - | 4,174 | - | 4,076 | - |
| Debt (Federal/ National Govt.) | 113 | - | 81 | - | 79 | - |
| Debt (Other Govt. bodies) | 211 | - | 179 | - | 150 | - |
| Debt (corporate) | 719 | - | 884 | - | 919 | - |

in USD (in millions i.e., '000000)

| Conversion Rate | | 2.029 | | 2.160 | | 2.110 | |
|--|-----------------|----------------|-----------------|----------------|-----------------|----------------|--|
| Settlement Instruction (During the year) | | | | | | | |
| Number of Instructions | 0.023 | | 0.025 | | 0.026 | | |
| Value of Instructions | 0.000 | | 0.000 | | 0.000 | | |
| Corporate Action Events (During the year) | | | | | | | |
| Number of Events handled by CSD | 0.009 | | 0.009 | | 0.011 | | |
| Value of Corporate action | 0.000 | | 0.000 | | 0.000 | | |
| Value on Deposit | | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign | |
| Equities | 15,354.721 | - | 15,138.889 | - | 15,990.521 | - | |
| Debt (Federal/ National Govt.) | 4,662.889 | - | 4,314.815 | - | 4,222.749 | - | |
| Debt (Other Govt. bodies) | 4,042.225 | - | 1,613.889 | - | 1,578.199 | - | |
| Debt (corporate) | 5,871.694 | - | 7,809.722 | - | 8,284.360 | - | |

OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify): Registration of transactions with securities carried out in the OTC market; performing the functions of a settlement depository in the organized securities market

MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

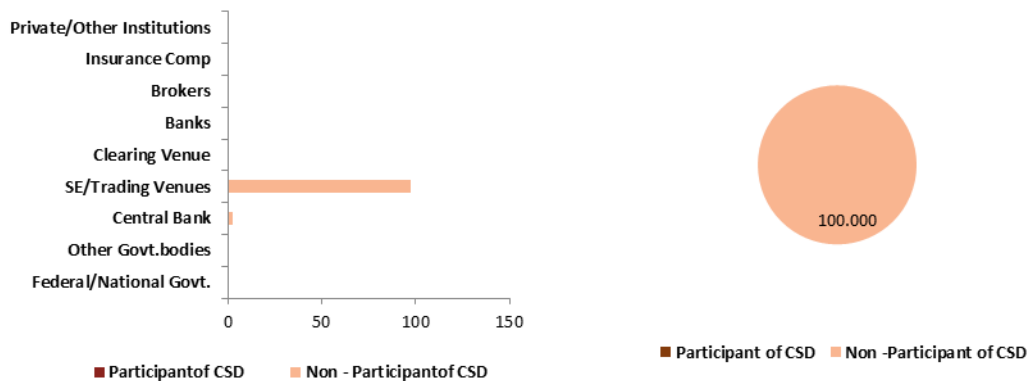
- Conclusion of an agreement for depository services between the Central Securities Depositories of the Republic of Belarus and the Kyrgyz Republic, on the basis of which a "depo" account was opened in the Central Securities Depository of the Kyrgyz Republic in the name of the Central Securities Depository of Belarus.
- The information and analytical presence in the media were strengthened, including the Internet, social networks and media resources.
- The specialists of the Central Securities Depository actively participated in the preparation of the draft Decree of the President of the Republic of Belarus providing for a number of reforms in the securities market, including the development, strengthening and enhancing of the infrastructure positions of the Central Securities Depository
- The Central Securities Depository connected to SWIFT.

❑ BASIC INFORMATION

- **Regional Association:** ACSDA
- **LEI Number:** 529900LXYUHTHE2P87
- **Local Currency:** Mexican Peso (MXN)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **CSD is owned or controlled by Stock Exchange**
- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure: Omnibus**
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Government Debt
 - Immobilized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
- **CSD or its group company does not have banking license**
- **CSD has DVP solution**
- **CSD settles in Central Bank money**

- Type of Participants

- **Domestic**
Custodian (4), Non-custodian Banks (61), Brokers (34), Others (20)
- **Non-domestic**
Custodian (3), Others (5)

☐ **FULL TIME EMPLOYEES: 42 (AS ON 31-Dec-19)**

☐ **ANNUAL REVENUE**

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 34,774.601 | 45,395.440 | 53,225.453 |
| Other Income | 465.975 | 452.316 | 488.112 |
| | 35,240.576 | 45,847.756 | 53,713.565 |

☐ **LINKS WITH OTHER CSDs**

- **CSD has links with other CSD**
 - **Number of Links with other CSDs - 8**
 - Only Inbound – 1 (Only Direct)
 - Only Outbound – 1 (Only Direct)
 - Both Inbound and Outbound – 4 (Only Direct)
 - Only Outbound – 2 (Only Indirect)
 - **Purpose of Links with other CSDs**
 - Both DVP & FOP - 6 (Only Direct)
 - Both DVP & FOP - 2 (Only Indirect)

☐ **STATISTICS & VOLUME**

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|---------------------------------------|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Omnibus Accounts | 3,096 | 3,096 | 3,393 | | | |
| Number of Participants | | | | | | |
| Domestic Participants | 118 | 120 | 119 | | | |
| Non-domestic Participants | 7 | 7 | 8 | | | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 5,317 | 1,320 | 5,625 | 1,512 | 5,378 | 1,819 |
| Debt (Federal/ National Govt.) | 175 | 74 | 168 | 36 | 179 | 94 |
| Debt (Other Govt. bodies) | 50 | - | 45 | - | 43 | - |
| Debt (corporate) | 2,768 | 427 | 2,804 | 422 | 2,749 | 411 |

in USD (in millions i.e., '000000)

| Conversion Rate | 19.737 | 19.657 | 18.873 | | | |
|--|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 2.951 | 3.119 | 3.101 | | | |
| Value of Instructions | 57,357,444.537 | 62,633,441.391 | 72,819,773.111 | | | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | 0.031 | 0.034 | 0.040 | | | |
| Value of Corporate action | 2,086,070.706 | 2,187,560.412 | 3,497,114.880 | | | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 714,287.674 | 36,750.371 | 635,111.311 | 39,268.337 | 711,393.229 | 47,518.479 |

| | | | | | | |
|--------------------------------|-------------|------------|-------------|------------|-------------|-----------|
| Debt (Federal/ National Govt.) | 327,274.109 | 3,124.419 | 340,592.880 | 10,410.600 | 402,739.990 | 2,617.061 |
| Debt (Other Govt. bodies) | 54,640.380 | - | 55,563.627 | - | 58,295.845 | - |
| Debt (corporate) | 128,186.621 | 10,590.458 | 140,221.045 | 1,267.462 | 163,308.271 | 7,637.540 |
| Others | - | 5.354 | - | - | - | - |

❑ OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify)

❑ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

- During 2019 and onto 2020, Indeval implemented a High Availability scheme by migrating from the IBM platform to VBlock. For the remaining part of 2020, Indeval will implement a full independent Disaster Recovery Plan, enhancing its Business Continuity Plan

Full SWIFT Messaging Capabilities

- By 2019, Indeval completed two of the three phases of the SWIFT Project (Corporate Actions Information with the Stock Exchanges and Communication with Global Custodians). At this moment, Phase 3 (Communication with local and foreign clients) is being tested with clients who already have SWIFT connectivity. The purpose of this phase is to enable another communication channel between Indeval and its clients by implementing a global standard communication for financial transactions; being said this, clients will have access to our various range of services such as cash services (Customer Payment and Financial Institution Transfers), Securities Markets and Customer Status.

Robotic Process Automation

- Indeval is working with UiPath, a leading RPA solution provider, focusing on automating current manual processes that create potential risks due to manual errors, time-sensitive processing, and limitations on high volume capacity. Indeval aims to go live with the first automated process via RPA by 4Q 2020

International Securities Services Enhancements

- Indeval continues to offer custody, cross-border settlement, asset services including proxy voting, as well as Tax Withholding services for all Non-Mexican Securities listed in the International Quotation System (SIC for its acronym in Spanish). During 2020, Indeval is moving to a segregated account within DTCC of its current Global Custodian which will result in better risk management as well as operational efficiencies.
- Service levels offered by Indeval for international securities, as well as the favorable regulatory changes implemented in 2017 have characterized a growing trend in this segment: the importance of the international securities market reached 47.1% of the daily trading value, 2,197 foreign issues, and AUC up to USD 47.4 billion all these figures as of June 30, 2020.
- Indeval is planning to enhance its cross-border cash settlement by implementing Participant sub-account cash accounts replacing the current Omnibus account model. These planned changes will increase funds availability, streamline Participant's cash reconciliation processes and increase liquidity.

Dematerialization of Securities

- Following the world-wide trend toward eliminating physical securities to reduce the costs and risks associated with this practice and in conjunction with the pandemic contingency, Indeval defined in collaboration with the Mexican Central Bank a plan to reduce and ultimately eliminate physical certificates replacing them by electronic book-entry ownership records within the Depository system. The project involves two phases:
 - 1st phase planned for 4Q 2020 will provide electronic safekeeping by converting certificates in physical to digital form.
 - 2nd phase planned for 4Q 2021 will offer full dematerialization capabilities.

Market Data

- Indeval's role in the market results in it being the source of important market data, which may be useful to Participants and other stakeholders. Leveraging this Indeval plans to develop a Data Warehouse to process and manage reference data and statistics. The scope of the project involves launching a new product line (data services), packaging the data to meet client and market needs, processing data to produce analytical statistics, among other activities.

Proxy Voting

- Indeval is analyzing offering automated centralized proxy voting services on Mexican issues to Participants on their voting rights at shareholders meetings. Currently the process is very costly and manually intensive for Participants to be able to offer this to their clients. By implementing a secure e-voting platform, Indeval is aiming to service the full lifecycle of the voting process from meeting announcement distribution to voting instructions to the issuer, with

full reporting capabilities to Participants, issuers and other interested stakeholders. This will provide significant cost savings to Participants and benefits to issuers improving corporate governance in Mexico

Direct Custody

- Direct Custody will enable access to the local market infrastructure providing various services to foreign financial institutions such as broker-dealers, banks, fund managers, insurance companies and global custodians. Indeval is awaiting the approval of the new pricing policy, documentation such as contracts, Service Level Agreements and modifications to the operating manuals are being reviewed by the Authorities and Indeval's attorneys respectively.

Taskize

- As part of the continuous efforts to increase customer satisfaction and offer faster response time on customer inquiries and issues, Indeval implemented Taskize. A secure web-based platform allows Participants to solve their operational issues in a faster and more efficient way eventually replacing emails and telephone calls. Indeval on-boarded an initial group of clients and will continue onboarding additional clients throughout the remaining of 2020 aiming to have fully adopted Taskize for all clients by 2021.

Web site

- Indeval is planning to enhance its web site by offering an innovative, dynamic web page, with updated content of general interest and with the required functionality to publish information to our clients and stakeholders.

Group BMV Technology Benchmarking Project

- As part of a BMV Group project and driven by the needs to provide a stable and secure infrastructure Indeval is participating in a comprehensive assessment of 3rd party solutions, in terms of functionality, cybersecurity, connectivity between entities (trading-CCPs-CSD), new services, technologies (cloud, hybrid), Blockchain, data management and global standards.

❑ BASIC INFORMATION

- **Regional Association:** AMEDA
- **Local Currency:** Jordanian Dinar (JOD)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI. The Securities Depository Center (SDC) is a public utility institution, founded by virtue of Securities Law where it is not owned by any entity. It has no shareholders or capital
- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD settles in Central Bank money
- **Type of Participants**
 - o **Domestic**
Custodian (18), Brokers (60)

❑ FULL TIME EMPLOYEES: 71 (AS ON 31-Dec-19)

❑ ANNUAL REVENUE

| | in USD (in thousands i.e., '000) | | |
|--------------------------------|----------------------------------|------------------------|------------------------|
| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
| Revenue from Operations | 6,272.908 | 5,879.059 | 4,632.609 |
| Other Income | - | - | - |
| | 6,272.908 | 5,879.059 | 4,632.609 |

❑ LINKS WITH OTHER CSDs

- CSD has no links with other CSD

❑ STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | | As on 31-Dec-18 | | As on 31-Dec-19 | |
|---------------------------------------|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 1,233,495 | | 307,688 | | 304,320 | |
| Number of Participants | | | | | | |
| Domestic Participants | 77 | | 77 | | 78 | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 247 | - | 245 | - | 235 | - |
| Debt (Federal/ National Govt.) | 160 | - | 158 | - | 185 | - |
| Debt (Other Govt. bodies) | 12 | - | 12 | - | 9 | - |
| Debt (corporate) | 23 | - | 45 | - | 55 | - |
| Others | 4 | - | 4 | - | 4 | - |

in USD (in millions i.e., '000000)

| | | | | | | |
|--|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Conversion Rate | 0.709 | | 0.709 | | 0.709 | |
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 1.500 | | 1,178.390 | | 1,293.738 | |
| Value of Instructions | 4,754.302 | | 1,932.046 | | 2,164.122 | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | 0.000 | | 0.000 | | 0.000 | |
| Value of Corporate action | 399.154 | | 255.338 | | 127.203 | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 23,554.866 | - | 23,145.167 | - | 21,391.387 | - |
| Debt (Federal/ National Govt.) | 21,159.944 | - | 15.467 | - | 15.474 | - |
| Debt (Other Govt. bodies) | 861.072 | - | - | - | - | - |
| Debt (corporate) | 544.852 | - | 637.252 | - | 811.380 | - |
| Others | 471.086 | - | 470.889 | - | 471.101 | - |

❑ OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify)

❑ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

- Developed a system for sending SMS to investors.
- Updating the SDC's electronic system to the latest version of Oracle technologies

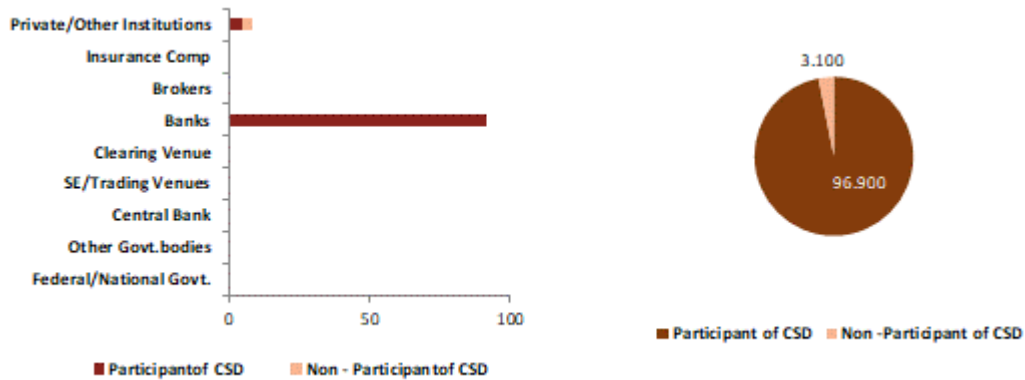
❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **Local Currency:** Swiss Franc (CHF)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI.

- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
- CSD or its group company have banking license
- CSD has DVP solution
- CSD settles in Central Bank money

❑ FULL TIME EMPLOYEES: 289 (AS ON 31-Dec-19)

ANNUAL REVENUE

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 218,120,392.657 | 219,736.717 | 215,013.679 |
| Other Income | 15,018,552.586 | 7,929.212 | 9,329.615 |
| | 233,138,945.243 | 227,665.929 | 224,343.294 |

LINKS WITH OTHER CSDs

- **CSD has links with other CSD**
 - o **Number of Links with other CSDs - 54**
 - Both Inbound and Outbound – 11 (Only Direct)
 - Both Inbound and Outbound –43 (Only Indirect)
 - o **Purpose of Links with other CSDs**
 - Both DVP & FOP - 11 (Only Direct)
 - Both DVP & FOP - 43 (Only Indirect)

STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|---------------------------------------|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Omnibus Accounts | 27,928 | 27,923 | 22,870 | | | |
| Number of Participants | | | | | | |
| Domestic Participants | 191 | - | - | | | |
| Non-domestic Participants | 144 | - | - | | | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 1,096 | 41,129 | 1,051 | 44 | 1,063 | 44 |
| CIV | 3,877 | 38,855 | 2,215 | 1,655 | 2,261 | 1,795 |
| Debt (Federal/ National Govt.) | 211 | 4,636 | 3,248 | 77 | 3,739 | 89 |
| Debt (Other Govt. bodies) | 118 | 669 | - | - | - | - |
| Debt (corporate) | 2,852 | 40,728 | - | - | - | - |
| Others | 200,275 | 172,746 | 147,497 | 60,789 | 172,796 | 40,155 |

in USD (in millions i.e., '000000)

| Conversion Rate | 0.975 | 0.944 | 0.946 | | | |
|--|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 38.077 | 37.895 | 40.983 | | | |
| Value of Instructions | 0.000 | 0.000 | 0.000 | | | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | 0.618 | 0.579 | 0.662 | | | |
| Value of Corporate action | 0.000 | 0.000 | 0.000 | | | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 0.000 | - | 0.000 | - | 0.000 | - |

OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services

- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify): Tax Services, Vault Services, Issuer Services, Settlement Services

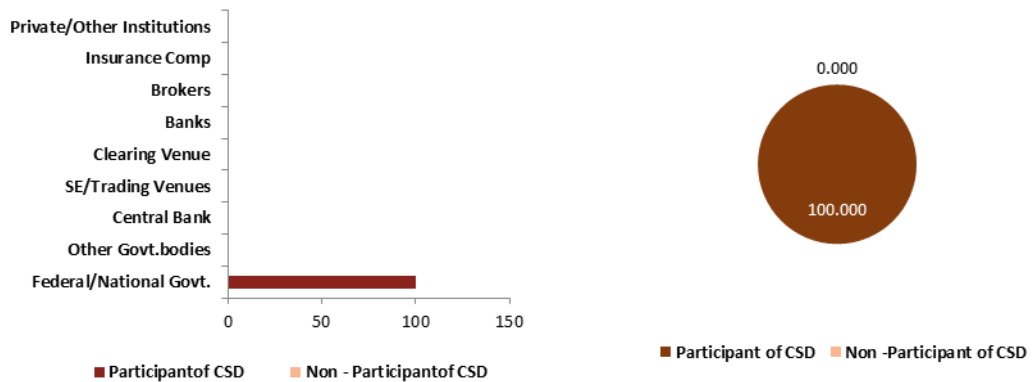
❑ BASIC INFORMATION

- **Regional Association:** ACG, AECSD
- **Primary Regional Association:** AECSD
- **LEI Number:** 253400SW1QJQSB3A2U49
- **Local Currency:** Uzbekistan Som (UZS)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI. CSD is owned or controlled by the State Assets Management Agency

- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus (Beneficial Owner account can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Corporate Debt
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD uses external Commercial Bank money (CoBM) for settlement

- Type of Participants
o Domestic

Brokers (43), Asset Managers (34), Others (9)

□ FULL TIME EMPLOYEES: 51 (AS ON 31-Dec-19)
□ ANNUAL REVENUE

| | in USD (in thousands i.e., '000) | | |
|--------------------------------|----------------------------------|------------------------|------------------------|
| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
| Revenue from Operations | 473.477 | 584.300 | 610.966 |
| Other Income | 49.447 | 36.561 | 29.682 |
| | 522.924 | 620.861 | 640.648 |

□ LINKS WITH OTHER CSDs

- CSD has no links with other CSD

□ STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | | As on 31-Dec-18 | | As on 31-Dec-19 | |
|---------------------------------------|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 920,349 | | 776,918 | | 807,301 | |
| Omnibus Accounts | 39 | | 39 | | 43 | |
| Number of Participants | | | | | | |
| Domestic Participants | 47 | | 81 | | 86 | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 455 | - | 155 | - | 123 | - |
| CIV | 9 | - | - | - | - | - |
| Debt (corporate) | 16 | - | - | - | 5 | - |

| | in USD (in millions i.e., '000000) | | | | | |
|---|------------------------------------|----------------|-----------------|----------------|-----------------|----------------|
| Conversion Rate | 8,140.000 | | 8,339.550 | | 9,507.560 | |
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 0.008 | | 0.024 | | 0.038 | |
| Value of Instructions | 2,733.125 | | 1,281.964 | | 3,962.531 | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 5,974.414 | - | 7,127.413 | - | 10,434.830 | - |
| CIV | 0.286 | - | - | - | - | - |
| Debt (corporate) | 30.869 | - | 23.749 | - | 51.334 | - |

□ OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform



- None of the above
- Others (Please specify): Advisory Services

MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

- The software to interact with the Service Bureau of ANNA when assigning international ISIN, CFI, FISN codes to corporate securities issued by Uzbek issuers was developed.
- Central Securities Depository became a full member of the Association of National Numbering Agencies, the main activity of which is the assignment of international codes to national securities.

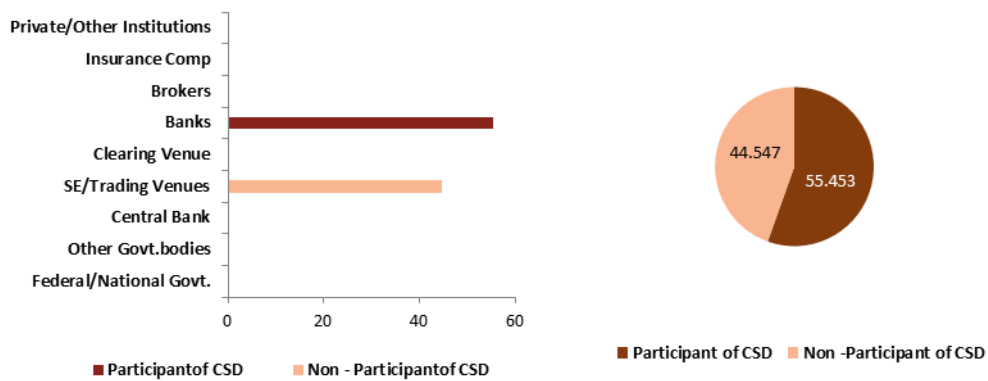
❑ BASIC INFORMATION

- **Regional Association:** ACSDA, AMEDA
- **Primary Regional Association:** ACSDA
- **LEI Number:** 378900F4A0A690EA6735
- **Local Currency:** South African Rand (ZAR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI.

- Shareholding Pattern (in %)



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus (Beneficial Owner account can also be opened)

- Financial Instruments accepted for deposit and/or settlement:

- Equities
- Collective Investment Vehicles
- Government Debt
- Corporate Debt
- Others

- Financial Instruments held in

- Dematerialized form** Equity, Government Debt, Corporate Debt, Others
- Immobilized form** -

- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD settles in Central Bank money

- **Type of Participants**

- **Domestic**
Custodian (4), Others (3)
- **Non-domestic**
Custodian (2)

❑ **FULL TIME EMPLOYEES: 134 (AS ON 31-Dec-19)**

❑ **ANNUAL REVENUE**

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 35,112,304.334 | 31,678,571.429 | 33,187,250.712 |
| Other Income | - | - | - |
| | 35,112,304.334 | 31,678,571.429 | 33,187,250.712 |

❑ **LINKS WITH OTHER CSDs**

- CSD has no links with other CSD

❑ **STATISTICS & VOLUME**

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|---------------------------------------|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | - | 15,500 | 15,808 | | | |
| Omnibus Accounts | - | 4,100 | 4,302 | | | |
| Number of Participants | | | | | | |
| Domestic Participants | 7 | 7 | 7 | | | |
| Non-domestic Participants | 2 | 2 | 2 | | | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | - | - | 834 | - | 1,024 | - |
| Debt (Federal/ National Govt.) | - | - | 2,243 | - | 2,524 | - |
| Debt (corporate) | - | - | 5,597 | - | 5,465 | - |

in USD (in millions i.e., '000000)

| Conversion Rate | 12.394 | 14.420 | 14.040 | | | |
|--|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | - | 7,556 | 7,398 | | | |
| Value of Instructions | - | 2,830,374.896 | 3,464,475.214 | | | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | - | 0.028 | 0.028 | | | |
| Value of Corporate action | - | 111,501.595 | 119,364.601 | | | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | - | - | 533,941.609 | - | 548,393.020 | - |
| CIV | - | - | - | - | - | - |
| Debt (Federal/ National Govt.) | - | - | 214,109.709 | - | 219,904.701 | - |
| Debt (Other Govt. bodies) | - | - | - | - | - | - |
| Debt (corporate) | - | - | 64,526.491 | - | 66,272.934 | - |

❑ **OTHER SERVICES (AS ON 31-Dec-19)**

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions

- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify)

MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

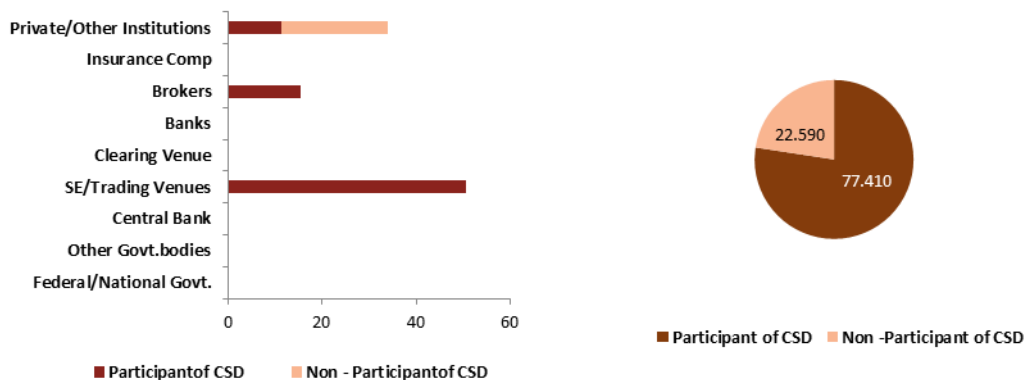
- (2019) Final migration of all settlement platforms onto the BaNCS MI product (TCS)
- Deployment of the e-Voting solution developed in conjunction with NASDAQ

❑ BASIC INFORMATION

- **Regional Association:** ACG
- **LEI Number:** 5493002M01148C9XLF52
- **Local Currency:** New Taiwan Dollar (TWD)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **CSD is owned or controlled by Stock Exchange**
- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are not traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure: Beneficial Owner**
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** Others
- **CSD or its group company does not have banking license**
- **Type of Participants**
 - **Domestic**
Custodian (39), Brokers (103), Others (6214)
 - **Non-domestic**
Others (2)

❑ FULL TIME EMPLOYEES: 523 (AS ON 31-Dec-19)

ANNUAL REVENUE

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|-------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 150,374.703 | 171,618.261 | 173,923.105 |
| Other Income | 7,607.754 | 9,796.831 | 10,729.655 |
| | 157,982.457 | 181,415.091 | 184,652.760 |

LINKS WITH OTHER CSDs

- CSD has no links with other CSD

STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|---------------------------------------|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 17,069,416 | 17,546,560 | 18,156,178 | | | |
| Number of Participants | | | | | | |
| Domestic Participants | 5,491 | 5,922 | 6,356 | | | |
| Non-domestic Participants | - | 2 | 2 | | | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 1,925 | - | 1,967 | - | 1,979 | - |
| CIV | 109 | - | 148 | - | 218 | - |
| Debt (Other Govt. bodies) | 4 | - | 11 | - | 11 | - |
| Debt (corporate) | 884 | 486 | 1,074 | 589 | 1,130 | 645 |
| Others | 16,681 | - | 21,285 | - | 20,668 | - |

in USD (in millions i.e., '000000)

| Conversion Rate | 29.707 | 30.733 | 30.106 | | | |
|--|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 135.900 | 149.680 | 145.890 | | | |
| Value of Instructions | 1,150,465.735 | 1,333,083.623 | 1,238,691.258 | | | |
| Corporate Action Events (During the year) | | | | | | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 1,366,987.139 | - | 1,062,988.319 | - | 1,340,024.912 | - |
| CIV | 11,742.687 | - | 24,227.703 | - | 56,651.166 | - |
| Debt (Other Govt. bodies) | 1,398.519 | - | 2,173.559 | - | 2,218.827 | - |
| Debt (corporate) | 126,831.517 | 4,351.828 | 92,842.872 | 5,156.997 | 99,148.343 | 5,608.517 |
| Others | 5,205.844 | - | 4,777.275 | - | 7,360.991 | - |

OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform

- None of the above
- Others (Please specify)

MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

- TDCC Chairman & CEO Sherman Lin was elected as the Vice Chairman of the Asia-Pacific CSDs Group (ACG) and became a board member of The World Forum of CSDs (WFC).
- TDCC participated in the 2019 eASIA Awards and won the gold medal in "Digital Transformation- Public Sector" by its Innovative Application of Electronic Voting and STP Service Project.
- TDCC organized the "ReLife Project" to promote Taiwanese citizens awareness of the need for retirement plans and self saving investments. The project accumulated more than 5 million views, and more than 110,000 people signed up.
- TDCC built Investor Relations Platform to promote the communication between investors and issuing companies, facilitating investors to query the investor service and corporate governance information of the issuing company.

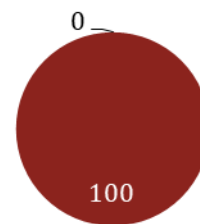
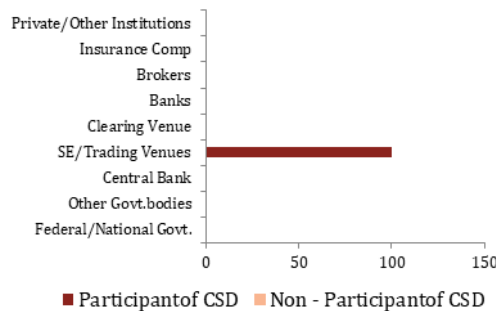
❑ BASIC INFORMATION

- **Regional Association:** ACG
- **LEI Number:** 254900IJQ6ZM0PD20H32
- **Local Currency:** Thai Baht (THB)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Stock Exchange

- Shareholding Pattern (in %)



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner (Omnibus accounts can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD settles in Central Bank money

- **Type of Participants**

o **Domestic**

Custodian (14), Non-custodian Banks (21), Brokers (41), Asset Managers (8), Others (26)

FULL TIME EMPLOYEES: 22 (AS ON 31-Dec-19)

ANNUAL REVENUE

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 48,105.354 | 53,115.084 | 56,118.538 |
| Other Income | 433.453 | 579.130 | 1,098.231 |
| | 48,538.807 | 53,694.214 | 57,216.769 |

LINKS WITH OTHER CSDs

- CSD has no links with other CSD

STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|---------------------------------------|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Number of Participants | | | | | | |
| Domestic Participants | 111 | 110 | 110 | | | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 4,165 | - | 2,821 | - | 2,913 | - |
| CIV | 128 | - | 2,366 | - | 2,372 | - |
| Debt (Federal/ National Govt.) | 327 | - | - | - | - | - |
| Debt (Other Govt. bodies) | - | - | 820 | - | 839 | - |
| Debt (corporate) | 1,412 | - | 2,675 | - | 2,670 | - |
| Others | - | - | 5,061 | - | 6,470 | - |

in USD (in millions i.e., '000000)

| | | | | | | |
|--|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Conversion Rate | 32.659 | 31.294 | 31.490 | | | |
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 6.000 | 0.125 | 0.699 | | | |
| Value of Instructions | 41,735.548 | 3,184,051.967 | 3,057,130.140 | | | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | 0.013 | 0.007 | 0.007 | | | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 5,753.295 | - | 473,466.608 | - | 492,275.194 | - |
| CIV | 231.066 | - | - | - | - | - |
| Debt (Federal/ National Govt.) | 2,934.424 | - | - | - | - | - |
| Debt (Other Govt. bodies) | - | - | 268,057.023 | - | 321,457.873 | - |
| Debt (corporate) | 731.618 | - | 69,004.433 | - | 80,101.655 | - |

OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services

- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify)

MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

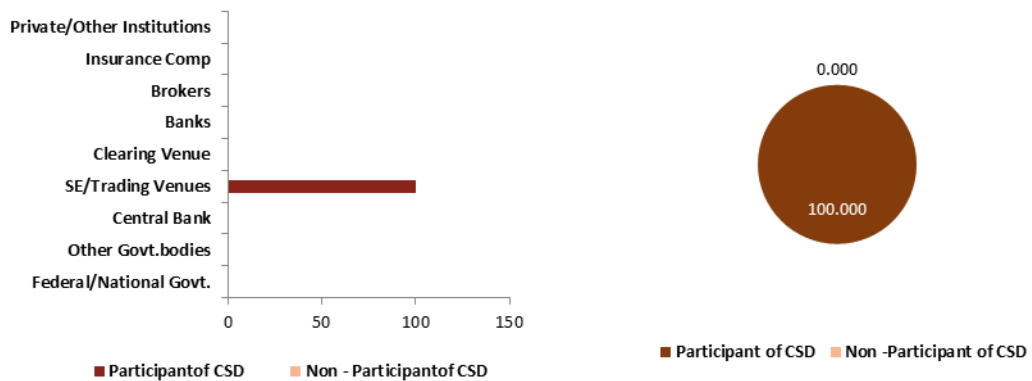
- Please see development details on TSD&TCH newsletter as provided link:
<https://www.set.or.th/tsd/en/download/newsletter.html>

❑ BASIC INFORMATION

- **Regional Association:** ACG
- **LEI Number:** 549300CMH3J8ASUM8N29
- **Local Currency:** Singapore Dollar (SGD)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **CSD is owned or controlled by Stock Exchange**
- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure: Beneficial Owner (Omnibus accounts can also be opened)**
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt
 - Immobilized form** -
- **CSD or its group company does not have banking license**
- **CSD has DVP solution**
- **CSD offers both Commercial Bank money and Central Bank money for settlement**

- **Type of Participants**
 - o **Domestic**
Custodian (28), Brokers (20)

❑ FULL TIME EMPLOYEES: 725 (AS ON 31-Dec-19)

❑ ANNUAL REVENUE

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | - | 99,289.221 | 123,225.148 |
| Other Income | - | - | - |
| | - | 99,289.221 | 123,225.148 |

❑ LINKS WITH OTHER CSDs

- **CSD has links with other CSD**
 - o **Number of Links with other CSDs - 1**
 - Both Inbound and Outbound – 1 (Only Direct)
 - o **Purpose of Links with other CSDs**
 - Only FOP – 1(Only Direct)

❑ STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|---------------------------------------|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | - | 1,550,000 | 1,620,000 | | | |
| Omnibus Accounts | - | 3,226 | 3,023 | | | |
| Number of Participants | | | | | | |
| Domestic Participants | - | 49 | 48 | | | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | - | - | 482 | 259 | 470 | 253 |
| Debt (corporate) | - | - | 322 | 3,261 | 127 | 4,090 |

in USD (in millions i.e., '000000)

| | | | | | | |
|--|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Conversion Rate | - | 1.365 | 1.343 | | | |
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | - | 6.159 | 10.252 | | | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | - | 0.002 | 0.002 | | | |
| Value of Corporate action | - | 47,629.516 | 33,952.065 | | | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | - | - | 360,123.104 | 326,377.959 | 402,469.715 | 295,802.899 |

❑ OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services

- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify)

MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

- CDP initiated the pilot wave to 12,000 account holders, informing them that CDP will be going cheque-free progressively in 2020.
- CDP also implemented paperless handling of estate statement requests from law firms and replaced cheque payment with electronic payment modes
- CDP implemented the online account opening for individual securities account. These accounts are straight through and opened within 15 minutes.

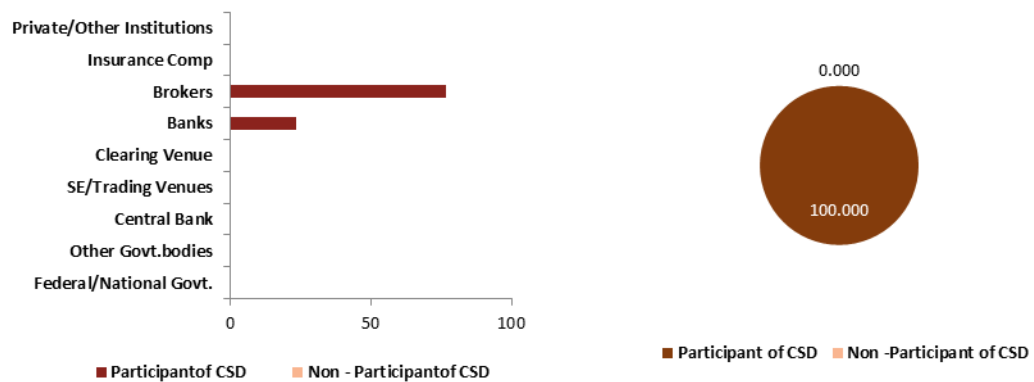
❑ BASIC INFORMATION

- **Regional Association:** AMEDA
- **LEI Number:** 4117IB8J63IU02SES575
- **Local Currency:** Tunisian Dinar (TND)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI.

- Shareholding Pattern (in %)



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD settles in Central Bank money

- **Type of Participants**
 - o **Domestic**
Custodian (43), Others (86)

FULL TIME EMPLOYEES: 27 (AS ON 31-Dec-19)

ANNUAL REVENUE

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 1,424.922 | 0.002 | 0.002 |
| Other Income | 325.696 | 0.000 | 0.001 |
| | 1,750.618 | 0.002 | 0.002 |

LINKS WITH OTHER CSDs

- CSD has no links with other CSD

STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|---------------------------------------|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Omnibus Accounts | 10,962 | 11,623 | 11,375 | | | |
| Number of Participants | | | | | | |
| Domestic Participants | 129 | 129 | 129 | | | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 85 | - | 87 | - | 86 | - |
| Debt (Federal/ National Govt.) | 35 | - | 34 | - | 37 | - |
| Debt (corporate) | 238 | - | 266 | - | 278 | - |
| Others | 223 | - | 228 | - | 243 | - |

in USD (in millions i.e., '000000)

| Conversion Rate | 2.456 | 2.795 | 2.783 | | | |
|--|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 0.500 | 0.707 | 0.550 | | | |
| Value of Instructions | 3.547 | 3.633 | 0.000 | | | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | 0.001 | 0.001 | 0.001 | | | |
| Value of Corporate action | 1.093 | 1.681 | 0.000 | | | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 9.038 | - | 8.728 | - | - | - |
| Debt (Federal/ National Govt.) | 5.496 | - | 4.865 | - | - | - |
| Debt (corporate) | 1.140 | - | 1.002 | - | - | - |
| Others | - | - | 0.107 | - | - | - |

OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services

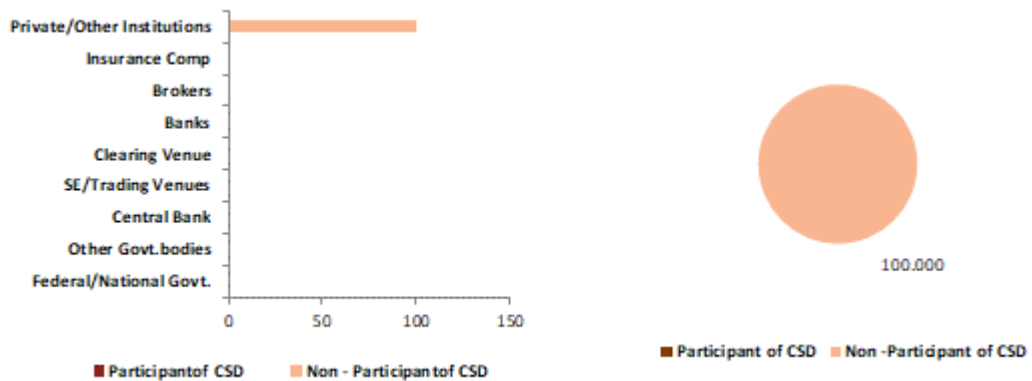
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify)

❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **LEI Number:** 5967007LIEEXZX9IE075
- **Local Currency:** Norwegian Krone (NOK)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Holding Company that also owns other FMIs
- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner (Omnibus accounts can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD settles in Central Bank money

- Type of Participants

- **Domestic**
Custodian (1), Non-custodian Banks (12), Brokers (4), Others (4)
- **Non-domestic**
Custodian (7), Brokers (3), Others (3)

☐ **FULL TIME EMPLOYEES: 100 (AS ON 31-Dec-19)**

☐ ANNUAL REVENUE

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 56,422.701 | 50,652.311 | 50,596.126 |
| Other Income | 190.160 | - | 1,308.838 |
| | 56,612.861 | 50,652.311 | 51,904.964 |

☐ LINKS WITH OTHER CSDs

- **CSD has links with other CSD**
 - **Number of Links with other CSDs - 7**
 - Only Outbound – 7 (Only Indirect)
- **Purpose of Links with other CSDs**
 - Only FOP – 7(Only Indirect)

☐ STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|---------------------------------------|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 860,692 | - | 1,333,025 | | | |
| Omnibus Accounts | 7,006 | - | 5,739 | | | |
| Number of Participants | | | | | | |
| Domestic Participants | 28 | 21 | 21 | | | |
| Non-domestic Participants | 8 | 13 | 13 | | | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 1,180 | 97 | 0 | - | 0 | - |
| CIV | 357 | 462 | - | - | - | - |
| Debt (Federal/ National Govt.) | 618 | - | - | - | - | - |
| Debt (Other Govt. bodies) | 235 | - | - | - | - | - |
| Debt (corporate) | 2,079 | 481 | - | - | - | - |
| Others | 439 | 847 | - | - | - | - |

in USD (in millions i.e., '000000)

| Conversion Rate | 8.204 | 9.064 | 9.113 | | | |
|--|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 13.210 | 13.000 | 14.000 | | | |
| Value of Instructions | 48,901,894.274 | 4,964,733.841 | 5,254,726.955 | | | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | 0.013 | 0.025 | 0.026 | | | |
| Value of Corporate action | 0.000 | 0.000 | 0.000 | | | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 0.000 | - | 0.000 | - | 0.000 | - |

OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify): Tax services, end investor portal, AGM, other value-added services to issuers and end investors

MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

VPS was acquired by Euronext in 2019

❑ BASIC INFORMATION

- **Regional Association:** ACG
- **Local Currency:** Vietnamese Dong (VND)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI. VSD is a wholly State-owned limited liability company
- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Financial Instruments accepted for deposit and/or settlement:**
 - Equities
 - Collective Investment Vehicles
 - Government Debt
 - Corporate Debt
 - Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD offers both Commercial Bank money and Central Bank money for settlement
- **Type of Participants**
 - **Domestic**
Custodian (5), Brokers (82), Others (23)
 - **Non-domestic**
Custodian (8), Others (3)

❑ FULL TIME EMPLOYEES: 173 (AS ON 31-Dec-19)

❑ ANNUAL REVENUE

| | in USD (in thousands i.e., '000) | | |
|--------------------------------|----------------------------------|------------------------|------------------------|
| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
| Revenue from Operations | 9,505.604 | 24,199.970 | 22,816.597 |
| Other Income | - | - | - |
| | 9,505.604 | 24,199.970 | 22,816.597 |



❑ LINKS WITH OTHER CSDs

- CSD has no links with other CSD

❑ STATISTICS & VOLUME

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|---------------------------------------|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Number of Participants | | | | | | |
| Domestic Participants | 85 | 111 | 110 | | | |
| Non-domestic Participants | 7 | 7 | 11 | | | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 0 | - | 1,699 | - | 1,754 | - |
| CIV | - | - | 5 | - | 5 | - |
| Debt (Federal/ National Govt.) | - | - | 550 | - | 451 | 4 |
| Debt (Other Govt. bodies) | - | - | - | - | 41 | - |
| Debt (corporate) | - | - | 30 | - | 27 | - |
| Others | - | - | 4 | - | 42 | - |

in USD (in millions i.e., '000000)

| | | | | | | |
|--|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Conversion Rate | 22,710.576 | 23,080.000 | 23,230.000 | | | |
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 0.000 | 0.000 | 0.000 | | | |
| Value of Instructions | 0.000 | 0.000 | 0.000 | | | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | 0.000 | 0.000 | 0.000 | | | |
| Value of Corporate action | 0.000 | 0.000 | 0.000 | | | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 24,573.568 | - | 30,933.592 | - | 33,544.414 | - |
| CIV | 83.661 | - | 137.447 | - | 207.813 | - |
| Debt (Federal/ National Govt.) | 44,036.744 | - | 47,391.103 | - | 49,780.703 | - |
| Debt (corporate) | 572.420 | - | 1,178.212 | - | 1,250.306 | - |
| Others | 2,700.000 | - | - | - | - | - |

❑ OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify): - Providing securities registration, depository, clearing, settlement and corporate actions processing; Securities lending and borrowing; Transfer agent and fund management services to open-ended funds and ETFs; Acting as CCP for derivatives market

❑ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

1. Participating in finalizing 2019 Securities Law
2. Successfully launching services for covered warrants
3. Clearing and settlement for Government bond futures
4. Getting ready to provide services to voluntary supplementary pension funds

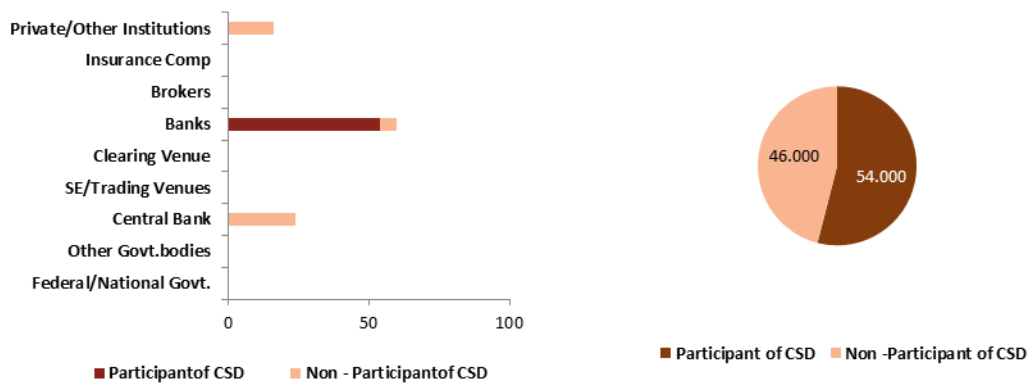
❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **LEI Number:** 529900HDNBQ2DD0QHJ07
- **Local Currency:** Danish Krone (DKK)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI.**

- Shareholding Pattern (in %)



- **Shares of CSD or Holding Company are not traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure: Omnibus (Beneficial Owner account can also be opened)**

- Financial Instruments accepted for deposit and/or settlement:

- Equities
- Collective Investment Vehicles
- Government Debt
- Corporate Debt
- Others

- Financial Instruments held in

Dematerialized form Equity, Collective Investment Vehicles, Government Debt, Corporate Debt

Immobilized form -

- **CSD or its group company does not have banking license**
- **CSD has DVP solution**
- **CSD offers both Commercial Bank money and Central Bank money for settlement**

- Type of Participants

- **Domestic**
Custodian (3), Non-custodian Banks (46), Others (6)
- **Non-domestic**
Custodian (5), Non-custodian Banks (13), Others (47)

❑ **FULL TIME EMPLOYEES: 186 (AS ON 31-Dec-19)**

❑ **ANNUAL REVENUE**

in USD (in thousands i.e., '000)

| | 01-Jan-17 to 31-Dec-17 | 01-Jan-18 to 31-Dec-18 | 01-Jan-19 to 31-Dec-19 |
|--------------------------------|------------------------|------------------------|------------------------|
| Revenue from Operations | 65,322.363 | 61,349.049 | 62,081.031 |
| Other Income | 5,294.545 | 6,164.120 | 5,769.966 |
| | 70,616.907 | 67,513.169 | 67,850.997 |

❑ **LINKS WITH OTHER CSDs**

- **CSD has links with other CSD**
 - **Number of Links with other CSDs - 4**
 - Only Inbound – 3 (Only Direct)
 - Only Inbound – 1 (Only Indirect)
 - **Purpose of Links with other CSDs**
 - Both DVP & FOP - 3 (Only Direct)
 - Both DVP & FOP - 1 (Only Indirect)

❑ **STATISTICS & VOLUME**

| Particulars | As on 31-Dec-17 | As on 31-Dec-18 | As on 31-Dec-19 | | | |
|---------------------------------------|-----------------|-----------------|-----------------|----------------|-----------------|----------------|
| Number of accounts held by CSD | | | | | | |
| Beneficial Owner Accounts | 3,000,000 | 3,042,303 | 3,006,564 | | | |
| Omnibus Accounts | 1,500 | 1,500 | 1,506 | | | |
| Number of Participants | | | | | | |
| Domestic Participants | 286 | 56 | 55 | | | |
| Non-domestic Participants | 64 | 63 | 65 | | | |
| Number of eligible issues | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |
| Equities | 403 | 21 | 475 | 1,718 | 476 | 2,728 |
| CIV | 1,083 | 74 | 1,125 | 70 | 1,143 | 80 |
| Debt (Federal/ National Govt.) | 18 | 5 | 18 | 4 | 19 | 3 |
| Debt (Other Govt. bodies) | 50 | - | 56 | - | 52 | - |
| Debt (corporate) | 1,958 | 69 | 1,970 | 46 | 2,020 | 31 |
| Others | 112 | 1,218 | - | - | - | - |

in USD (in millions i.e., '000000)

| Particulars | 2017 | 2018 | 2019 | | | |
|--|-----------------|----------------|-----------------|----------------|-----------------|----------------|
| Conversion Rate | | | | | | |
| | 6.209 | 6.274 | 6.276 | | | |
| Settlement Instruction (During the year) | | | | | | |
| Number of Instructions | 16.800 | 16.984 | 16.654 | | | |
| Value of Instructions | 6,572,760.329 | 6,743,737.578 | 8,919,763.688 | | | |
| Corporate Action Events (During the year) | | | | | | |
| Number of Events handled by CSD | 0.000 | 0.000 | 0.000 | | | |
| Value of Corporate action | 299.743 | 0.000 | 0.000 | | | |
| Value on Deposit | | | | | | |
| Instrument Type | Domestic | Foreign | Domestic | Foreign | Domestic | Foreign |

| | | | | | | |
|--------------------------------|-------------|------------|-------------|------------|-------------|------------|
| Equities | 447,306.878 | 7,893.981 | 386,555.693 | 29,543.230 | 484,313.929 | 56,467.344 |
| CIV | 241,235.509 | 4,007.792 | 225,531.497 | 4,016.612 | 253,484.747 | 4,844.808 |
| Debt (Federal/ National Govt.) | 127,399.256 | 668.744 | 123,958.632 | 656.492 | 125,101.845 | 522.831 |
| Debt (Other Govt. bodies) | 6,362.409 | - | 5,402.454 | - | 7,308.029 | - |
| Debt (corporate) | 470,396.743 | 901.000 | 487,505.371 | 781.033 | 511,716.475 | 632.538 |
| Others | 2,417.915 | 21,279.650 | - | - | - | - |

❑ OTHER SERVICES (AS ON 31-Dec-19)

- Trade Repository Services
- Information Services
- National Numbering Agency Services
- Technological solutions
- Triparty Services
- Legal Entity Identifier (LEI) Services
- Valuation Services
- Cash Account and other Cash Services
- e-Voting Platform
- Crowdfunding Platform
- Funds Order Routing Platform
- None of the above
- Others (Please specify)

❑ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

- New strategy approved and launched 2019.
- Merger of VP Services A/S into VP Securities A/S with effect 1 January 2019.
- Initiation of CSDR Settlement Discipline Regime project and Shareholders Rights Directive II project.

DEFINITIONS & ABBREVIATIONS

- **Beneficial Owner:** An account structure where securities are held at the level of the individual end-investor.
- **Cash Account and other Cash Services:** CSD provides Cash account maintenance and FX services.
- **Funds Order Routing Platform:** CSD provides platform to investors to place their order of subscription, redemption, and other type of orders for funds
- **Collective Investments Vehicles (CIV) (i.e. Funds):** Securities representing a portion of assets pooled by investors run by a management company whose share capital remains separate from such assets and includes issues of shares or units in the form of a unit trust, mutual fund, OICVM, OPCVM, SICAV, SICAF, and so on. Collective Investment Vehicles include the following: (a) Standard Investment Funds/Mutual Funds, (b) Hedge Funds, (c) Real Estate Investment Trust (REIT), (d) Exchange Traded Funds (ETF), (e) Pension Funds, (f) Funds of Funds, and (g) Private Equity Funds.
- **Corporate Action Events:** Corporate action events which either result into debit or credit of securities in the accounts maintained by CSD or cash entitlement processed by CSD to credit the account of Client in case of beneficial owner account or participant in case of omnibus account.
- **Crowdfunding Platform:** CSD provides infrastructure for crowdfunding market and supports the development of the crowdfunding market, by providing services to issuers, investors, intermediaries, and supervisory authorities through crowdfunding platform. Crowdfunding platforms facilitate issuers and investors to check issuance or investment limits, and members of the general public interested in crowdfunding to access related information and statistical data.
- **Debt:** Financial instruments evidencing monies owed by the issuer to the holder on terms as specified. Debt includes the following: (a) Bonds (b) Convertible Bonds (c) Bonds with Warrants Attached, (d) Medium-Terms Notes, (e) Money Market Instruments, (f) Structured Instruments (capital protection), (g) Structured Instruments (without capital protection), (h) Mortgage-Backed Securities, (i) Asset-Backed Securities, (j) Municipal Bonds, and (k) Depository Receipts on Debt Instruments.
- **Dematerialised form of securities:** 'Dematerialised form' means that the financial instruments exist in the records of the CSD. The issue is usually documented by a record maintained by the issuer or a CSD or some other intermediary. The securities issued are credited to securities accounts.
- **Equities:** Financial instruments represent an ownership interest in an entity or pool of assets. Equities include the following: (a) Common/ordinary shares, (b) Preferred/preference shares, (c) Common/ordinary convertible shares, (d) Preferred/preference convertible shares, (e) Limited partnership units, (f) Depository receipts on equities, and (g) Structured instruments (participation).
- **e-Voting Platform:** CSD provides an e-Voting Platform to the issuers.
- **Full-Time Employees:** Employees who are on the payroll of the CSD or directly attributable to the CSD in another (group) legal entity. Part-time employees should also be counted as full-time employee numbers by converting them into full-time equivalents (*e.g. two employees working part-time for a half day each should be considered as one employee*).

- **Immobilised Form of Securities:** Immobilisation involves concentrating the holding of securities in a CSD. The deposit of securities may be done in the form of individual certificates, a combined certificate, known as a global or jumbo note/certificate which represents all or part of the securities of a particular issue, or a letter by the issuer evidencing entrustment of a certain quantity of securities of a specific type. Transfers of immobilised securities thus can take place by electronic book-entries by intermediaries and do not require actual movement of certificates.

Immobilisation is hence the act of concentrating the holding of securities certificates with a depository to allow the crediting of an equal amount of securities to securities accounts and the transferability of such securities by way of book entry.

- **Information Services:** CSD collects securities, corporate actions, and issuers and registrars information from different sources and distributes it in a customised and structured way via online database and/or via the website.
- **Legal Entity Identifier (LEI) Services:** CSD assigning Legal Entity Identification (LEI) codes.
- **National Numbering Agency Services:** CSD is authorised to allocate the ISIN, CFI and other international codes.
- **Omnibus:**
 - Omnibus Account Structure: Securities for more than one client are comingled within the account(s) of Intermediaries.
 - Segregated Omnibus Account Structure: An omnibus account allowing for segregation of individual CSD participant clients' assets.
- **Others instrument:** All other instruments that do not fit in Equities, Collective investments vehicles and Debt as defined above.
- **Other CSDs:** CSD that is incorporated in the same Jurisdiction as well as other jurisdictions.
- **Participant:** Participants include any entity having signed an agreement of participation for operating accounts or for participation in the CSD settlement system. In a tiered system, custodian banks or other CSDs hold accounts with the CSD. In a non-tiered system, every private individual can have an account with the CSD. However, the accounts are operated by only a few companies that are the account operators. These are companies operating the accounts of (private) customers in non-tiered systems and are typically banks.

Participants do not include investors or issuers using the CSD's registration service or share transfer agents of issuers, or using CSD ancillary services that are not directly linked to their participation in the settlement system.

- **Domestic Participant:** Domestic Participants are those located (incorporated) in the same country as the CSD.

- **Non-Domestic Participant:** Non-Domestic Participants are those that are located (incorporated) in a different country than where the CSD is established.
- **Participant type:**
 - In case the same participant is a Custodian and also a Bank then mention the count under Custodian.
 - In case the same participant is Custodian and also a Broker then mention the count under Custodian.
 - In case the same participant is a Bank and also a Broker then mention the count under Bank.
- **Settlement Instructions:**
 - Number of delivery instructions from 1 January to 31 December.
 - This number covers all instructions to move securities between accounts.
 - For trades not cleared by a CCP: data related to delivery instructions is reported on a gross basis (without netting). For trades cleared by a CCP: data related to delivery instructions is reported on a post-netting basis.
- **Delivery instructions include:**
 - Instructions to block (and un-block) securities for collateralisation purposes on a borrower's securities account with the CSD.
 - Securities movements due to automatic securities lending or automatic collateralisation (including self-collateralisation).
 - Delivery instructions to move securities from the participant's own account to his omnibus account and vice versa when there is segregation on a participant's account with the CSD.
 - Delivery instructions related to the transfer of securities between two accounts of the same account operator in a non-tiered system.
- **Delivery instructions exclude:**
 - Instructions related to securities movements due to corporate actions (restructuring the ownership of a company through e.g. a stock split or conversion), new issues, and redemptions.
 - Instructions related to purely technical bookings such as realignment procedures.

For the number of delivery instructions:

In principle, only delivery instructions are counted.

- An instruction to transfer two or more securities (ISIN or national codes) is counted as two (or more) instructions.
- If the CSD receives two instructions regarding the same trade (e.g. one from the seller and one from the buyer of the securities), only one instruction is reported (either the one of the seller or the one of the buyer, but not both of them). Further, when processing an instruction to transfer securities from a seller to a buyer requires two or more transfers, due to movement of securities from (i) a client to a clearing member, (ii) a clearing member to a CCP, (iii) a CCP to a

clearing member and (iv) a clearing member to a client, only one transfer is to be reported, preferably, from a client to a clearing member.

- For transfers through a link between CSDs, only the issuer CSD reports. When the issuing CSD is not involved (e.g. transfers through the “bridge”), only the delivering CSD reports.
- **Technological solutions:** CSD provides access to EDI systems, SWIFT, and/or outsourcing of IT services.
- **Trade Repository Services:** CSD provides services for OTC transactions reporting by market participants due to applicable laws and regulations requirements.
- **Triparty Services:** CSD offers its clients collateral management services for OTC transactions such as REPO, securities lending and derivatives.
- **Value of Deposit:** Market price as on the last business day of the calendar year should be considered for valuation. In case of collective investment vehicles per unit net asset value (NAV) or if market price is available then market price should be considered. When market price / NAV as of last business day of the calendar year is not available, then the latest available price should be used. In case instrument for which market price is not available face value should be used.
- **Valuation Services:** CSD provides an automatic system to calculate market prices of financial instruments.